

Policy Committee

Wednesday, 13 July 2016 at 10:30

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

AGENDA

- | | | |
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| 1 | Minutes of last meeting held on 15 June 2016 | 3 - 6 |
| 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 | Workforce Strategy 2016-18 | 7 - 30 |
| 5 | Accessible Communication Policy | 31 - 38 |
| 6 | Update on Progress with Arrangements to Integrate Health and Social Care in Mid-Nottinghamshire | 39 - 44 |
| 7 | Rural Services Network - Review of Membership | 45 - 48 |
| 8 | Consultation on the Sheffield City Region Combined Authority Scheme - Proposed County Council Response | 49 - 112 |
| 9 | Work Programme | 113 -
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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 Keith Ford (Tel. 0115 977 2590) 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 15 June 2016 at 10.30 am**

membership

Persons absent are marked with 'A'

COUNCILLORS

Joyce Bosnjak (Vice- Chairman)

Reg Adair
Chris Barnfather
Jim Creamer
Mrs Kay Cutts MBE
Kate Foale
Stephen Garner **A**
Glynn Gilfoyle
Kevin Greaves
Stan Heptinstall MBE

Richard Jackson
David Kirkham
John Knight
David Martin
Diana Meale
Philip Owen
John Peck
Stuart Wallace
Muriel Weisz

ALSO IN ATTENDANCE

Councillor Pauline Allan
Councillor Roy Allan
Councillor Alan Bell
Councillor Nicki Brooks

Councillor Steve Carroll
Councillor Alice Grice
Councillor Liz Plant

OFFICERS IN ATTENDANCE

Anthony May

Chief Executive

David Pearson CBE

Adult, Social Care, Health & Public Protection

Heather Dickinson
Martin Done
Keith Ford
Jayne Francis-Ward
Matthew Garrard
Helen Lester
Catherine Munro
Nigel Stevenson



Resources

CHAIR

In the absence of the Chair, the Vice-Chairman chaired the meeting.

Members stood in silence in tribute to the memory of Councillor Martin Suthers OBE.

Members congratulated David Pearson on his CBE award in the Queen's Birthday honours.

MINUTES

The Minutes of the last meeting held on 20 April 2016, having been previously circulated, were confirmed and signed by the Chairman.

APOLOGIES FOR ABSENCE

Councillor Garner had sent apologies for absence due to medical reasons.

The following permanent change in membership was reported to the Committee:-

- Councillor Chris Barnfather had replaced Councillor Martin Suthers OBE.

The following temporary change in membership, for this meeting only, was reported to the Committee:-

- Councillor Kate Foale had replaced Councillor Alan Rhodes

Councillor David Martin had replaced Councillor Jason Zadrozny for both this meeting and the previous meeting.

DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

None.

STAFFING RESOURCES FOR THE GODDARD INQUIRY – INDEPENDENT INQUIRY INTO CHILD SEXUAL ABUSE

RESOLVED: 2016/041

- 1) That the posts identified in table 1 of the committee report be established.
- 2) That the funding for an additional Archivist post as outlined in paragraph 7 of the report be approved.
- 3) That the additional potential resource implications identified within the report be noted.

PUBLIC ENGAGEMENT CAMPAIGN

RESOLVED: 2016/042

That approval be given to the delivery of a campaign to improve public engagement with the Council.

QUARTERLY PERFORMANCE REPORT ON PROGRESS AGAINST THE STRATEGIC PLAN 2014-18 AND REDEFINING YOUR COUNCIL

In response to Members' queries, Martin Done clarified the note on the Digital First project in Appendix C to the report by explaining the difficulties referenced referred to the Intranet build, not the Council's main internet site which had already gone live.

RESOLVED: 2016/043

That the progress against the Strategic Plan and Redefining Your Council be noted.

WORK PROGRAMME

Anthony May highlighted that he was unable to attend the 13 July Policy Committee meeting due to other Council business and requested that the item on Review of Senior Management Structure be deferred to the 21 September meeting accordingly.

RESOLVED: 2016/044

That the work programme, as updated, be noted.

The meeting closed at 11.43 am

CHAIRMAN



REPORT OF THE SERVICE DIRECTOR, CUSTOMERS AND HUMAN RESOURCES

WORKFORCE STRATEGY 2016 - 2018

Purpose of the Report

1. To seek the approval of Policy Committee to the Council's new corporate Workforce Strategy which sets out the Council's current strategic people priorities in response to the challenges it faces now and over the next few years and the workforce transformation needed to deliver these priorities.

Information and Advice

Background

2. Its people are the Council's most important and most valuable resource. To deliver its wider strategic priorities effectively the organisation needs to enable and support its employees to utilise their skills and experience to find innovative and creative approaches and new ways of working.
3. In the context of on-going organisational change and transformation, the Council has an aspiration, working through the creativity and innovation of its people, to maximise and improve its workforce capacity and improve its employment practices.
4. The Council also needs to be able to recruit and retain the key knowledge, skills and experience it needs now and for the future with robust workforce planning arrangements in place to enable the Council to plan effectively for the future.
5. The Council's people and future workforce priorities are set out in its Workforce Strategy, based around four themes which reflect the Council's aspiration to be:
 - A High Performing Organisation
 - A Learning Organisation
 - An Employer of Choice
 - A Healthy Organisation
6. The proposed strategy was considered and supported by Chief Officers at the Corporate Leadership Team on 19th April 2016, at Directors Business Forum on 25 April 2016 and by the trade unions at the Central Joint Consultative and Negotiating Panel on 5th May 2016 where the trades unions indicated their support.

7. Trade union colleagues have welcomed the Workforce Strategy and the Authority's continued commitment to its staff and the public it serves. The trade unions also highlighted the positive working relationships between management, HR and trade union colleagues; with all parties seeking to ensure positive involvement in joint working to the benefit of staff and the public.
8. At the meeting of Personnel Committee on 25th May 2016 elected members gave their initial consideration to the Workforce Strategy and gave it their provisional approval subject to further consideration by Policy Committee.
9. A copy of the Workforce Strategy is attached as **appendix 1** to this report.

Proposal

10. Subject to formal approval by Policy Committee, it is proposed that the Council's new Workforce Strategy will be launched in summer 2016.
11. This will be underpinned by a corporate Delivery Plan which will be developed in conjunction with departmental workforce leads in order to ensure that there is connectivity between the corporate strategy and departmental workforce plans.
12. Group and Team Managers will be involved in developing implementation plans through the Leadership Development Programme. Employees will be directly engaged through a series of countywide roadshows which it is anticipated will take place in autumn 2016.

Other Options Considered

13. The corporate Workforce and Organisational Development Team has liaised with departmental workforce leads to ensure that the specific skill shortages; recruitment and retention and workforce planning issues in individual departments are reflected in the corporate strategy at a strategic level.

Reason for Recommendations

14. The proposed Workforce Strategy will provide a framework to enable Nottinghamshire County Council to be a high performance organisation with a culture that engages and develops its people to achieve continuous improvement and an agile workforce with key knowledge, skills and experience; effectively deployed to meet organisational priorities.

Statutory and Policy Implications

This report has been compiled after consideration of implications in respect of finance, equal opportunities, 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.

Equalities Implications

15. These are set out within the body of the report. The Council's core value to treat its people fairly is reflected as a priority in the strategy under the theme of a Healthy Organisation. The Council's self-managed employee support groups will be engaged in the development of relevant delivery plans to support the implementation of this commitment.

Human Resources Implications

16. These are set out in the body of this report. Trades union colleagues are supportive of the strategy and joint working will be a feature of the development of specific delivery plans to support its implementation.

RECOMMENDATIONS

It is recommended that Policy Committee:

1. Approve the Council's Corporate Workforce Strategy for 2016-18.
2. Note the proposals to develop implementation plans and engagement with Group and Team Managers and the wider workforce.

Marjorie Toward
Service Director - Customers and HR
Resources Department

For any enquiries about this report please contact:

Claire Gollin, Group Manager HR, on 0115 9773837 or claire.gollin@nottscc.gov.uk

Constitutional Comments (KK 22/06/16)

17. The proposals within this report are within the remit of the Policy Committee.

Financial Comments (RWK 22/06/16)

18. There are no direct financial implications arising from the proposals in the report.

Human Resources Comments (CLG 01/06/16)

19. The human resources implications are implicit in the body of the report.

Background Papers

Trade union side comments – email dated 01.07.16

Electoral Division(s) and Member(s) Affected

All



Nottinghamshire
County Council

WORKFORCE STRATEGY

2016 - 2018



“People doing things differently
through creativity and innovation”



Foreword by the Leader and Chief Executive of the Council

We believe that our employees are the County Council’s most important and valuable asset. This is particularly true in these changing and often challenging times. That said, of course, challenges also offer opportunities. Our many recent successes have been achieved as a result of the ability, skills and commitment of our excellent employees. We know that the continued achievement of successful organisational change and transformation relies on the people who work for this Council and share our values of public service.

Our aspiration is to be an employer which embodies our values of fairness and equity and people want to work for. We want to set an example as a good employer and encourage others to follow. This will help us attract and retain the most diverse, creative and innovative individuals with the key skills and abilities that we need now and for the future. In return we will provide a modern, supportive and healthy working environment and new ways of working which promote and encourage skills and talent to flourish.

We welcome this Workforce Strategy because we know that it will enable the Council to support all of our employees to work together to deliver our priorities. We will do this by developing and involving our people in a way which reflects our shared commitment to secure the best possible services for local people.

Much progress has been made toward developing our organisational culture and planning for our future workforce needs. The publication of this Workforce Strategy document is an important milestone in enabling our employees, and wider workforce, to engage positively in the opportunities and challenges ahead so that we collectively shape the Council’s future.

The priorities set out in our Workforce Strategy for 2016-18 will provide the direction and framework for the next few years. Over the coming months, a robust implementation plan will be developed and we are confident that this approach will equip our employees for the future.



Councillor Alan Rhodes
Leader of Nottinghamshire County Council



Anthony May
Chief Executive Nottinghamshire County Council

Vision, Aims, Objectives

The Workforce Strategy 2016-2018 has been developed by the County Council to support the delivery of the Council's strategic priorities by taking a whole organisational approach to transforming the Council's workforce.

The Council's three core values as set out in the Strategic Plan are to :

- Treat people fairly
- Offer value for money
- Work together with partners and local people to deliver better outcomes

We will meet our current and future people needs by enabling our employees to use their skills, knowledge and experience to find **new and innovative ways of working** to achieve the organisational change necessary to ensure the effective delivery of services in the future.

The Council needs to respond to its current and future challenges and ambitions by reviewing its current services and finding new and different operating models and ways of doing things. **Redefining Your Council** sets out the strategic framework for transformation. In order to support this and enable the Council to become a high performing organisation which is an employer of choice; the Council will need to adopt a structured and **strategic approach to workforce planning** and embed this into the service planning process.

This will ensure that our **workforce development** effort is focussed on ensuring that we have the right skill sets deployed across redesigned and re-framed delivery models, including core services, shared services, social enterprises and commissioned services, which transcends organisational boundaries and structures and enables us to focus on improving outcomes for local people.

This organisational remodelling will necessitate identifying how to **motivate and engage** a workforce employed across a range of organisations whilst managing peaks and troughs in workforce supply and demand. Success will require effective collaboration between elected members, employees and other partner organisations.

The size, shape and nature of the workforce and how employees undertake their work is likely to change significantly as the Council transforms with more services commissioned; provided through alternative service delivery models and in conjunction with partners. This will necessitate consideration of the concept of the **wider workforce across Nottinghamshire**. This is particularly relevant in the health and social care sectors where work is underway as part of the Sustainability and Transformation Programme; D2N2 Health and Social Care Skills Action Plan and the work of the Health and Wellbeing Boards across Nottingham and Nottinghamshire. The Council will need to work with key partners, stakeholders and providers to identify staffing requirements, plan for and develop the workforce across the wider health, adult care and children's sectors in Nottinghamshire. Improving the image and experience of working in the public sector; promoting a **"public service career"** with opportunities for development and progression will need to underpin this to attract and retain staff with the necessary skills and encourage the development of a more diverse workforce which reflects the communities we serve.

Vision, Aims, Objectives

By clearly setting out **strategic priorities** for transforming the workforce to enable the Council and partners to meet future challenges; employees will be engaged and able to develop clarity of purpose, utilise their transferable skills and experience to find innovative, creative and cost effective approaches which build capacity by new ways of working.

The overall outcome of implementation of the supporting delivery plans will be a workforce which is **agile, flexible and outward looking** and able to work across organisations to ensure local people receive good quality, value for money services.

As the workforce transforms incrementally we will need to realign the aspirations of our workforce in order to retain and grow **high performing employees** who can continually adapt their skills to meet future service and organisational needs.

The Strategy is built around **four key themes** which reflect the Council's aspiration to be:

- **A High Performing Organisation**
- **A Learning Organisation**
- **An Employer of Choice**
- **A Healthy Organisation**

The activities identified within these themes will enable the Council to:

- Communicate its direction through **effective leadership and supportive management**; involve and **engage all employees** in delivering change and enable employees to **maximise their potential and improve performance**.
- Deliver **continuous improvement** and implement **culture change**; adopt a coaching style to nurture and grow talent through effective succession planning and the use of digital technology to improve service delivery and offer learning opportunities to everyone in the workforce to develop the skills and competencies needed for the future.
- Ensure the Council remains an **employer of choice** with an affordable but competitive package of terms and conditions and employee benefits which mean that we can recruit and retain quality staff and pay and reward them fairly with due regard to public accountability.
- Maximise our people capacity by treating all our employees fairly and promoting health and wellbeing by creating **safe and healthy working environments** and supporting employees to develop their personal resilience to change.
- Work with key partners and providers to develop the **wider workforce across Nottinghamshire**; particularly in areas such as health and social care.
- The approach and activities contained within the Workforce Strategy will be underpinned by the development of an **Employment Charter**. This will set out for our employees and the people of Nottinghamshire the principles which exemplify our approach as an employer.

Background to the Strategy

People are the County Council's **most important and its most valuable resource**.

We are one of the **largest employers in the county** with a direct workforce of just over 8,000 permanent and temporary employees; a significant proportion of whom provide or commission a range of around 450 direct services to the public. A further 9,000 employees are based in local authority maintained schools. The Council's gross budget in **2016/17 is £1.1 billion of which around £400m relates to staffing costs**.

Against a national backdrop of fiscal restraint, cuts in funding, rising demand for services and skills shortages in some critical areas; conventional models of public sector employment are evolving rapidly. This coupled with new statutory and regulatory frameworks and increasing demand for key services mean that we need to do things differently. This requires a new workforce with **new skill sets and a new organisational culture and workforce model**.

We need to consider the **concept of workforce more widely** and work across our key partnerships to develop our approach across Nottinghamshire.

The Council has an aspiration, working through the **creativity and innovation of its people**, to maximise and improve our workforce capacity and create a modern, agile and flexible workforce with the knowledge, skills and experience required now and for the future.

Improving our employment practices to become an **exemplar of good practice** and modelling and promoting this to other employers to encourage them to adopt good working practices will create new, fairly paid, local jobs and support the development of sustainable employment and economic growth in the County.



Theme 1 - A High Performance Organisation

The Council will transform its organisational culture and operating models and continuously improve individual and organisational performance; securing better outcomes for local people.

A culture of **continuous improvement** is essential to drive business change and to create sustainable success by encouraging **creativity and innovation** in everyone in our workforce. Continuous improvement and implementing change is part of everyone's role.

To support this we will establish a consistent, compliant and integrated approach to the development of an **organisational culture and corporate performance management framework**. This will ensure that we are **responsive to change** and fit for future purpose by matching capacity against corporate priorities and measuring outcomes against meaningful targets.

The Council's future workforce will be more integrated and more mobile with locality based working in key frontline service areas. We will be better aligned and work more closely with our partners to improve outcomes for local people. We will facilitate effective partnership working and collaboration across organisations and remove barriers to ensure employees can move more easily within the Council and between partner organisations.

The **positive engagement** of our people is the key to becoming a consistently **high performing organisation** with successful implementation of organisational change and service improvement. Our employees need to **have a common purpose and clarity** about their role and responsibilities which provides them with a sense of being **recognised and valued** for what they contribute to the Council's overall success. We will ensure that employees are **empowered** to make and implement appropriate decisions for which they are accountable.

As a large and complex organisation we are reliant on our leaders and managers to ensure improved service delivery and support the achievement of the Council's priorities. Strong, visible leadership with a performance focus based around working together to solve problems is essential. **Building effective leadership and management** now and for the future, making the best use of both political and managerial roles, and improving decision making is also key to sustained organisational effectiveness.

Improved, streamlined and standardised business processes, designed around the customer and maximising the use of digital technology; new ways of working and an updated operating model will further reinforce cultural change and improved performance.

Employee Satisfaction

2013 Employee Survey: **72%** staff satisfied with job overall, overall Engagement Index score = **60%**

Manager as Coach

143 Team Managers and above trained

Coaching Network

Target **30** In-House Coaches to be Trained (10 as at 31.3.16)

Leadership Development Programme

completed by **360** senior managers



Priority 1 - People engagement

The **engagement** of our workforce is essential to creating a culture of accountability, growth and connection. All of our employees need to understand their personal contribution and how they directly affect service outcomes. Managers have a critical role in ensuring employees understand the operating context and their role and responsibilities within this. Regular dialogue between managers and their teams, effective supervision and the annual EPDR process are key to this.

The active involvement of employees in the process of **continuous improvement**, service review and redesign and the **wider transformation** of the Council will increase ownership, gain commitment and encourage success.

This will be underpinned by working closely with **trades union colleagues** throughout change processes to ensure their effective engagement and additional support for staff.

Two way communication with employees to gain their views and ideas and engagement with the implementation of organisational change is key. New approaches to **internal communications** which actively encourage and support employee engagement will be critical going forward and are currently being developed.

Priority 2 – Managing and improving Performance

Ensuring that we properly **recognise good performance**, recognising people for their continued commitment and contribution and using our competency framework, coaching and other learning and development interventions to identify and develop those with **potential** to become future leaders, underpins continual improvement.

We will place a greater emphasis on **managing performance**, both in acknowledging good performance and appropriately tackling poor performance and behaviour with sensitivity and purpose, and measure performance against robust and meaningful criteria clearly linked to improved outcomes for local people.

Accountabilities and responsibilities and the required **capabilities** will be clearly articulated and embedded into role profiles and person specifications and be part of the performance management regime and ongoing dialogue between line managers and their teams. All staff will have access to regular supervision and an annual Employee Performance and Development Review (**EPDR**) with their line manager to support this.

This will require us to ensure that all of our managers are equipped to have regular and honest dialogue about performance with employees to support them to improve and to undertake timely and meaningful consultation about the impact on skill requirements of proposed service changes to ensure employees have the necessary skills and confidence to implement changes.

Workforce modernisation with a structure of **teamwork and coaching** will help build a sustained reduction in costs; improvements in quality and improved productivity and will enable our people to feel more fulfilled and motivated and facilitate their active engagement in organisational change.

We will be clear with our employees about accountabilities, roles, responsibilities and expectations. Making effective communication, consultation, feedback and appropriate challenge part of how we relate to each other day to day in a **cycle of continuous improvement**.



Priority 3 – Leadership and Management, including Community Leadership

Effective leadership is key to transforming services and supporting employees through change and working in partnership with local communities. It is essential that we develop in all our managers the **leadership behaviours** necessary to appropriately and supportively create clarity and vision, provide feedback, influence, delegate authority and assume accountability and work effectively with others and support others to do so.

We need to ensure that managers have the skills and confidence they need to **engage employees and local people effectively** and make the most of their diversity, creativity and innovation. **A coaching style** of management and leadership which ensures that every employees' personal and professional development needs are identified by their manager as an integral part of the refreshed EPDR process will support the development of high performing workplaces.

We will require our managers to **lead by example** and demonstrate our agreed values, vision and principles. We will build on successful delivery of the mandatory modules of the Council's **Leadership Development Programme**, through an ongoing programme of activity based on feedback from the earlier phases and will involve managers in its development. This next phase will enable managers to empower frontline staff to have more control over service delivery and change with a focus on improved outcomes for local people by using a coaching style and techniques.

Fully describing management roles and ensuring that managers understand this; clearly setting out expectations of employees and managers and ensuring that managers have the skills and confidence to operate successfully in the new operating context and take their teams with them in facing challenges ahead are critical. This began as part of the leadership events which set out the **"leadership deal"** based on feedback from group and team managers.

KEY AREAS FOR ACTION

- **Review senior management structures** and realign to reflect the changing shape and size of the Council with a focus on the Council's key priorities.
- **Redefine roles and responsibilities and redistribute accountabilities** to appropriate levels across the organisation to bring decision making closer to local people and better engage front line workers.
- Actively involve and **empower our Group and Team Manager cohort** to take direct responsibility for identifying and implementing options to improve services and embed change.
- Lead and manage change by engaging, involving and supporting our workforce and visibly valuing employees' contribution in a **cycle of continuous improvement linked to the Council's Strategic Performance Management Framework**.
- Continue the development of **internal communication tools**, strategies and approaches to support effective employee engagement as part of the Digital First programme.
- Engage managers in the development and roll out of the **next phase of the leadership development programme**; development of a manager's induction programme and programme for new and aspirant managers.
- Ensure that managers have the skills and confidence and tools to **recognise good performance and challenge poor performance and behaviours** and be clear about the consequences.
- Ensure **managers and employees are involved** in the development of alternative service delivery models.
- Continued roll out of "Manager as Coach" Programme and development of the Council's Coaching Network to embed a **coaching style and culture** to enhance the personal and professional development of employees and improve performance.



Theme 2 - A Learning Organisation

The Council will have a Learning Culture that demonstrably raises and continuously updates employees' skills and competencies and shares learning to improve organisational performance and deliver transformational change; maximising the use of new technologies.

All employees will be actively encouraged and supported to gain the knowledge, **skills and qualifications** that will meet the needs of the Council; support their future employability and, where required, work towards an appropriate qualification at a level relevant to their job.

The Council's **competency framework** will align employees' activities to the Council's priorities, vision and values. **The EPDR** process will be the common mechanism for assessing individual performance and identifying individual learning and development needs and ensure these are kept up to date.

We will **manage our talent** to retain and engage people and nurture and grow our future leaders. This will be reflected in a definition of **"high potential"** to develop criteria for rapid progression to professional and leadership positions.

Building and developing a productive, flexible and mobile workforce with the right knowledge, skills and experience; organised and managed effectively to deliver organisational priorities, now and for the future, is key to **delivering improved outcomes for local people.**

The use of modern media will improve accessibility to services and the range of available **learning and development materials** for employees and partners to develop the skills and attributes necessary and encourage and support the **sharing of learning** across the organisation, with partners and our communities.

The Council will integrate **workforce planning**, including talent management and succession planning, into our service planning activities in order to ensure the continuity of effective, customer focussed service delivery and enable the Council to meet its strategic objectives and priorities.

In 2015/16:

- **77%** of apprentices went on to employment or further education
- **30%** of apprentices secured employment with NCC
- **17%** of new joins with PC access (365) completed corporate induction
- **44%** of all courses completed (8500), was by ELearning
- 4+ score (out 5) for Improved Knowledge Skill, **100%** all courses delivered
- **70%** employees have an EPDR (2013 Employee Survey)





Priority 1 – Talent Management

We will develop **career pathways** to provide opportunities for the growth and development of staff. This will necessitate equipping our people to be more flexible and work across the organisation and with partners with effective cross skills training and greater use of tools such as secondments. We will need to adopt a more systematic approach to career development; identifying horizontal and vertical opportunities.

We will use the **competency framework and EPDR** process as a basis for effective talent management;

succession planning and skills analysis audits. These will be supported by training plans to address skills shortages.

We will invest in our future workforce by hosting a range of work related learning and experiential opportunities. This will include **apprenticeships** at a range of different levels, traineeships and work experience placements to attract new employees and up-skill existing staff. This will be an essential element of workforce planning; enable the Council to meet the Public Sector Apprenticeship Duty and support the Council's wider economic development agenda and develop the wider workforce in key skills areas.

Priority 2 - Transformation and organisational culture

In order to create a culture of **accountability, engagement and working in collaboration** with others, the Council needs its employees to work together to transform our culture and how we work around our core values and to model these values in our day to day activities. **Promoting and modelling a new organisational culture** which encourages improvement, innovation, personal growth, responsibility and behaviours in line with these values is key.

This is supported by the development of a **coaching culture** which encourages personal responsibility, is solution focused and ensures that every employees' personal and professional development needs are identified through the EPDR process and supported through day to day management approaches.

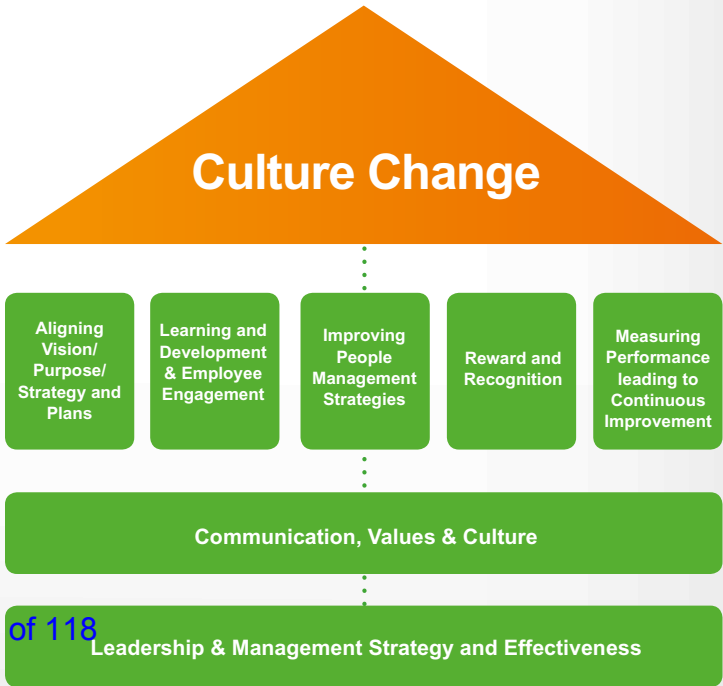
Ensuring employees are able to access new tools, digital technology and have the knowledge and skills to use this effectively will be necessary to underpin organisational change and transformation. As the Council **embraces the digital era**; its future operating model will maximise the use of modern technologies to embed a culture of smarter working which will generate efficiencies and savings and improve access to services and customer satisfaction and bring benefits for employees.

Reviewing the employee lifecycle and supporting processes to ensure employees have a **positive working experience** at whatever stage in their

career will contribute to employee involvement and engagement and promotion of the Council as a good employer and will reinforce a new workforce model and new ways of doing things. This will include the development of an "employee account" and employee portal through which employees can easily access information on pay and benefits.

The principles which underpin our approach as an employer will be reflected in an **Employee Charter**.

As identified during the Leadership Development Programme, Team and Group Managers have a critical role to play as **"ambassadors of cultural change"** and enabling organisational transformation.





Priority 3 - Developing key knowledge, skills and experience

We will **audit the skills base** of our existing workforce and identify skills gaps in order to address known and future occupational skills shortages; build the skills and capacity of the existing workforce and actively plan for and manage turnover. This needs to be undertaken within the context of the wider workforce.

Key **generic skills** which will increasingly be required include commissioning, client and contract management skills; developing greater commercial acumen; awareness and understanding of the potential for the use of digital and other technologies and effective relationship management and partnership working. Core skills underpinning this across the wider workforce include ICT skills, communication, “softer” interpersonal skills, customer service and problem solving skills.

This is in addition to **shortages of key skills** in particular service areas and professional groups where more specific and targeted action plans will be required.

We will continue to work with the recognised trades unions to support the development of **basic skills** across the workforce.

In order to ensure that organisational and individual capacity is maximised; it is essential that employee’s skills and knowledge are developed in an innovative, high performance multi agency context.

We will target activity around **key skills shortage** areas and work with our partners to help develop programmes of activity to enable us to meet our skills requirements and develop and recruit workers with the right balance of knowledge, skills and experience for the future. We will also need to consider the skills mix required when designing new roles and ensure that roles are designed to reflect future service needs.

This approach will be supported by a **revised competency framework** including the development of service specific competencies; effective supervision and EPDR processes and delivered through a revised learning and development strategy maximising the use of the most cost effective learning and development tools; working closely with our key partners.

KEY AREAS FOR ACTION

- Implement a **revised competency framework and Employee Performance and Development Review (EPDR)** process to reflect organisational change and strategic priorities and use this to support effective workforce planning, talent and career management and performance improvement.
- **Maximise the talent and potential of all employees;** deploying them more flexibly to share learning and encourage innovation and improvement across the wider public service workforce.
- Develop action plans to map and address **future generic and service specific skills requirements.**
- Identify and foster our existing talent and develop **talent pools** linked to our future skills needs and leadership development.
- **Align our learning and development activity to strategic priorities;** delivered via a mixed economy of provision, working in partnership with others, and continue to ensure access to learning resources for all staff at all levels across the organisation.
- Invest further in **work-based learning opportunities** for young people and develop effective partnerships with local schools, colleges and Universities. In our role as corporate parent, ensure that care leavers have access to these opportunities.
- Review our approach to **apprenticeships,** including mapping against revised frameworks, to enable the Council to increase the number of apprenticeships, including higher level apprenticeships, to meet the Public Sector Duty from 2017.
- Undertake an **employee survey (cultural inquiry)** supplemented by feedback from the leadership development programme and other existing information, to baseline the current culture and identify the key milestones and activities to achieve the culture and organisation we aspire to.
- Development of an **Employee Charter.**



Theme 3 - An Employer of Choice

The Council will build a strong workforce by attracting, recruiting, developing and retaining the right people for an effective, efficient, flexible workforce which is properly equipped to enable it to meet future business requirements and new demands and is fairly rewarded.

Continuing financial pressures will inevitably impact on the size and shape of the Council's future workforce and skills required; as services change in response and alternative models of service delivery are implemented and commissioning of services increases. This will require a **more commercial approach** and greater focus on contract and client management activities.

At the same time the national economy is beginning the process of recovery and labour markets are opening up in some areas; increased demand for services in other areas and changes to the legislative framework are creating **national skills shortages**. This is evidenced in key areas such as Children's and Adults Social Care, Highways Design and ICT where it is becoming increasingly difficult to attract and retain critical skills. In areas such as health and social care the need to work with partners and providers across the wider workforce is becoming increasingly important.

Against an overall reduction in headcount and reduced recruitment activity; it is essential that action continues to build a **co-ordinated approach to recruitment and retention** for key skills through effective workforce planning which also maximises the opportunity to deploy our existing workforce more flexibly.

Our ability to compete in the labour market to attract and retain high performing people is significantly influenced by our **pay and reward offer** and **terms and conditions package** which need to be both attractive and affordable. Our working practices and working environment should attract new employees; support employees to work to their optimum and encourage them to remain in the Council's employ.

The Council aims to be an **employer of choice** with a strong reputation as a good employer which provides a role model to other employers who contribute to the economy of Nottinghamshire by providing local jobs and investment.

Year 2015/16 as at 31.03.2016

- Headcount (permanent and temporary): **8,776** (6401.13 fte)
- Agency usage: 305.1 fte = **4.70%** of overall fte

As average over previous 12 months as at 31.03.2016

- Turnover (inc redundancies) : **9.25%**

Year 2015/16 as at 31.03.2016

- Voluntary Redundancies: **82.70%**
- Compulsory Redundancies: **17.30%** [Page 23 of 118](#)
- Average Redeployment Success Rate: **13.60%**





Priority 1 – Recruitment and retention

In order to be seen as an employer of choice and decrease our reliance on more costly agency staff we need to review our approach to **recruitment**. This will include new and innovative ways of promoting job opportunities; with the Council maximising the use of digital and social media to ensure that the profile of our staff reflects the communities we serve and we have the knowledge, skills and experience we require. By developing our recruitment process to include approaches such as competency based assessment we will ensure that we appoint the right people as efficiently as possible.

In order to **reduce turnover and retain employees** whom we have invested in, the Council will identify, develop and motivate talent and develop flexible career pathways within the Council and across our key partner organisations.

Improving our approach to identifying **redeployment and retraining** opportunities for employees who are displaced will help manage turnover, retain talent and skills and reduce the cost of redundancy.

Priority 2 - Pay, reward and recognition

The Council needs to ensure that our overall employment package is fair and equitable, affordable and offers **competitive terms and conditions of employment** which are broadly comparable with others but enables us to remain an employer of choice within a **comprehensive Employee Benefits Package**. Overall, Council turnover rates are average for local government with some key recruitment and retention hot spots. The Council has a loyal and long serving workforce with many skilled workers at the top of their pay grades who following a period of pay freeze have received only modest basic pay increases.

The Council has recently focussed on addressing pay issues for the lowest paid by introducing the **Living Wage** which has benefited many part time, women employees living in some of the most deprived parts of the county. This has provided a recruitment and retention incentive in front line service areas where turnover is higher and similar job opportunities with other employers relatively accessible. The Council will need to review its position in light of the government's introduction of the National Living Wage.

The first step is effectively **identifying future staffing requirements** including key areas of knowledge, skills and experience. The approach will be to predict and address key service demands and major workforce issues across the wider workforce; identify resources and clearly allocate responsibilities for action with regular review and adjustment to reflect changes in requirements. Increasingly this is likely to involve joint working and planning with our partners and key providers across a range of agencies based on robust management information about current resources and potential future demand.

In partnership with our Managed Service Provider, we will continue to **reduce our reliance on agency workers**. We will ensure that where this is necessary it is for a clearly defined time period, to meet clearly defined business needs and that such resources are procured and managed effectively to provide value for money and spend is effectively monitored and controlled.

In order to address recruitment and retention issues across the whole organisation, the Council will review its **pay, reward and recognition framework**. In doing so we will be mindful of the need to protect the integrity of the Council's Single Status Agreement and uphold the principles of Equal Pay and the fact that the Council remains within the national local government pay bargaining framework. In the context of continued financial challenges, we will ensure that our pay rates are fair and competitive and there is a degree of discretion in relation to starting salaries within existing pay bands to reflect local pay issues in identified skill shortage areas.

We will also explore the scope for adoption of **non-pay related recognition** incentives as a mechanism to value, recognise and retain employees.

The Council will also need to consider how best to attract and reward its most senior staff in the light of continued public interest in top public sector salaries if we are to ensure **effective leadership** for the future.



Priority 3 – Working practices

The Council's overall working practices need to be **flexible** enough to enable us to react more quickly to changing circumstances; facilitate effective partnership working and collaboration across organisations and remove or modify barriers to ensure that employees can move more easily between public sector employers.

We will **streamline our people policies and practices** to improve their application by managers; reviewing and updating them to ensure compliance with equalities legislation and other statutory duties. We will provide more accessible and easy to use guidance to ensure that managers apply policies consistently; take responsibility for the management of risk and are accountable for outcomes.

Maximising the use of **digital technology and flexible working practices** will enable our employees to work smarter and manage workloads more effectively; reduce travel time; enable remote working and improve

work life balance with positive consequences for employee wellbeing and service delivery.

We will adopt best practice in remote working and **equip our managers** with the skills to manage remote workers; including ensuring effective support, engagement, performance management and data security.

Deploying staff more flexibly across the organisation and working across partners will enable them to develop their skills; gain wider experience; develop and maximise their talents and widen their career opportunities. Increased cross training in skills across functions will support this and improve efficiency and communication.

As the Council embraces the digital era; its future operating model will utilise modern technology to embed a **culture of Smarter Working** which will generate efficiencies and savings and improve access to services and customer satisfaction and bring benefits for employees.

KEY AREAS FOR ACTION

- Develop a **succession planning framework** for use across the Council focussed around anticipated future skills needs and use this to actively predict and manage turnover.
- Identify **recruitment and retention hot spots**; analyse the drivers and influences and develop tailored responses which fit with wider organisational priorities and across the wider workforce.
- **Work with partners** to deliver the workforce strand of the Sustainability and Transformation Plan; D2N2 Skills Action Plan for Health and Social Care and implement the Joint Health and Social Care Sector Strategic Development Plan for Nottinghamshire; as commissioned jointly by the Health and Wellbeing Boards.
- Encourage the use of **secondments** across the Council and with key partners to widen experience; enhance career development; encourage cultural change and ensure closer working as part of the development of a wider public service workforce.
- Review **recruitment policies, practices and process** to build in greater flexibility and responsiveness and utilise a wider range of media, tools and techniques.
- Develop an extended **Employee Benefits Package**.
- Review our **terms and conditions** to ensure relevance; affordability; strategic fit and our ability to recruit and retain high performing employees.
- Use market intelligence and analysis to review **recruitment and retention incentives** and develop options for consideration; including identifying a range of **non-pay related incentive** and rewards to demonstrably value high performing and committed employees.
- Retain key knowledge, skills and experience and manage the impact of service redesign by **targeted retraining** and a refreshed management commitment to effective **redeployment**.
- Enable our employees to embrace new ways of working which **empower** them to respond positively to organisational change.
- Reduce costs and spend on the use of **agency workers** across the organisation.
- Develop our reporting, monitoring and business management systems to generate consistent and robust management information to identify skills gaps, underpin **effective workforce planning and develop appropriate responses and strategies**.



Theme 4 - A Healthy Organisation

The Council will provide a safe and healthy working environment which maximises productivity and performance, motivates and engages our workforce and builds a culture of positive mental and physical wellbeing.

A healthy organisation has clarity of purpose; focus; effective and visible leadership and respectful relationships where inappropriate behaviour is not tolerated and is one which **rewards and celebrates achievement**.

We will manage organisational transformation and the associated uncertainty arising from change by developing **organisational resilience** and retaining a focus on good health at work by promoting employee wellbeing and **healthy lifestyle choices**.

This includes providing a **psychologically healthy working environment** and ways of working which minimise potential for “presenteeism” by continuing to develop management capacity, including preventing stress and effective workload management.

We will reduce the potential for change to impact negatively on an individual’s mental health by enabling individual employees to build their **personal resilience**

and develop personal coping strategies in order to maintain high performance.

We will adopt best practice in designing **working environments** and **ways of working** which reduce overheads and environmental impact and help to improve employee health and wellbeing. We will enable better management of the home/work interface and provide our employees with the tools to support them in this.

Promoting the health of our workforce has the potential to benefit their families and wider communities and will support the embedding of good **public health principles** across the organisation and beyond.

A healthy organisation is a **diverse organisation** committed to inclusivity. By providing fair and equal access to employment and opportunity we will maximise our capacity to create a workforce which is properly **representative of our communities**.

Priority 1- Wellbeing and resilience

Minimising the impact of poor health and absence on services by continuing to invest in the health, safety and wellbeing of our employees and further **reducing levels of sickness absence** is a priority for the Council. The main thrust of this will be ensuring that managers foster working relationships and environments that **promote employee wellbeing and resilience** and pro-actively prevent and manage absence. Also ensuring that employees are supported to take **personal responsibility** for their lifestyle choices to maximise good health.

Embedding effective **identification and management of risk**; auditing of health and safety compliance and prioritisation of key areas for preventative action will be key in optimising health outcomes for staff.

This will include ensuring the working environment is safe, secure, well maintained, legally compliant and accessible to all.





Priority 2- Treating people fairly

The Council values diversity across the workforce and recognises the positive impact this has on our ability to ensure provision of **services which are representative of and appropriate for our communities**. Our core value of **treating people fairly** extends to the way in which we recruit, develop, reward, deploy and manage our own direct workforce and is reflected in our expectation that those who provide services on our behalf will share and model this commitment.

The **review of our people policies and procedures** will ensure that they are inclusive and fully compliant with the Equality Act and “equality proofed”.

Our priority for improvement will be to assess the level of diversity of background, experience and perspective across the leadership cohort and work with employees, self managed groups and trades

union colleagues to **identify and eliminate barriers** to under-represented groups being in leadership positions.

This will enable us to ensure that we **maximise potential** and reflect this in the identification and development of our leaders in the future. This will be reflected in our definition of the characteristics of “high potential” to develop criteria for rapid progression to professional and line management leadership positions.

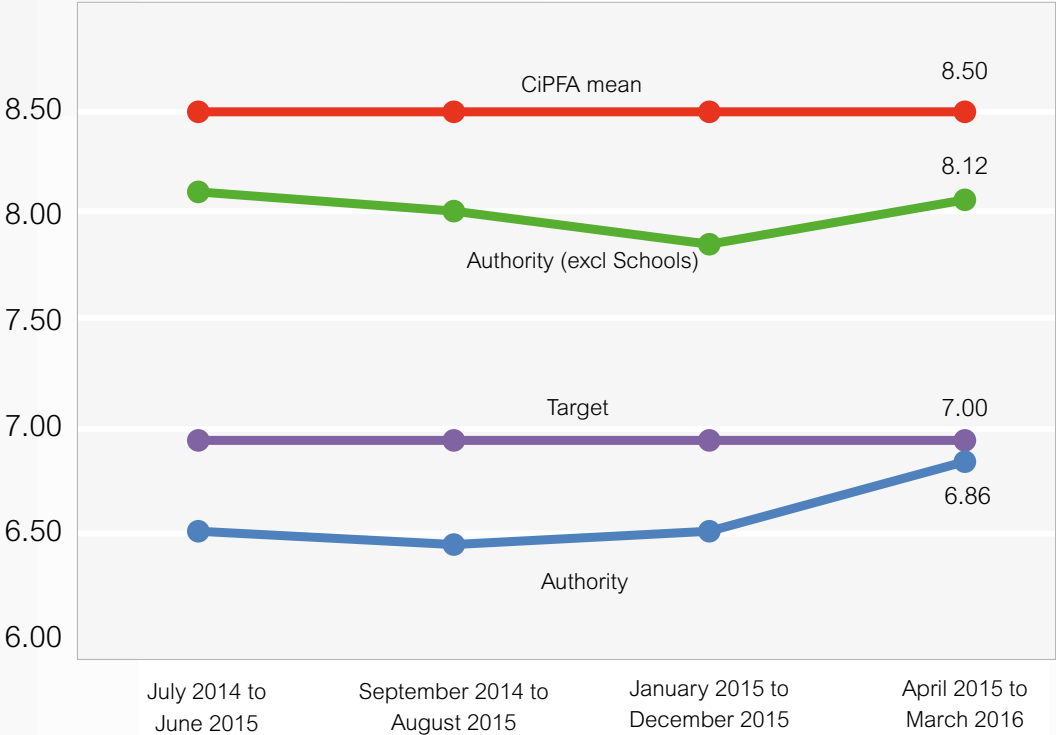
We will continue to **review our workforce profile** more broadly, in conjunction with the self managed groups and trades union colleagues, to ensure that under-represented groups are encouraged to consider employment with the Council; ensure that they are not disadvantaged in doing so and supported to remain in our employment.

KEY AREAS FOR ACTION

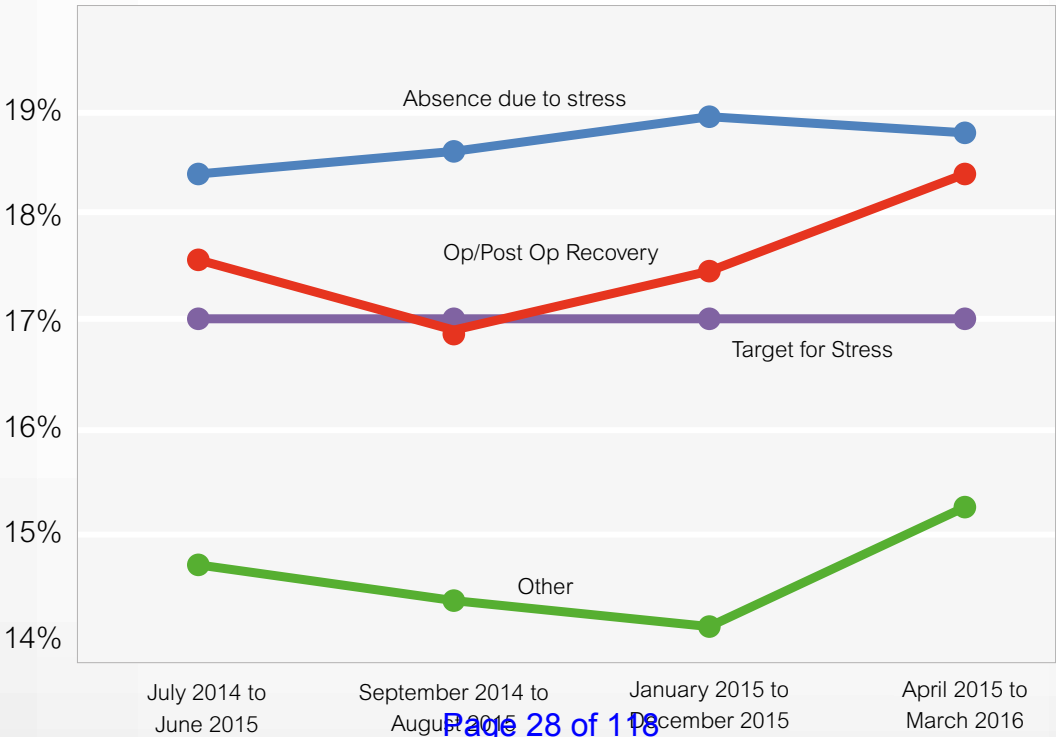
- **Evaluate barriers** to under-represented groups joining the Council and being in leadership positions to ensure that we maximise potential and reflect this in the identification of our leaders and senior managers for the future.
- Encourage and support **employees to respect and value others**; support each other and treat others with fairness and honesty and to challenge bad behaviour.
- **Promote diversity across our workforce** and ensure that we reflect our communities using national standards to improve practice and ensuring that we model good practice.
- Review reporting mechanisms to ensure that we publish and act on information on the **Gender Pay Gap** in line with legal requirements from 2017 onwards.
- Continue to work with trades union colleagues to seek accreditation against the **Platinum level Wellbeing at Work Award**.
- Work with trades union colleagues to raise awareness of mental ill health and related issues in the workplace and support managers and employees to **maintain good mental health through organisational change**; develop resources to support and guide employees and managers to find solutions to pressures and challenges of change through information, learning and good management practice.
- Further develop our range of **workplace health promotion activities** and wellbeing information resources.
- Promote effective **workload management and prioritisation** techniques to help reduce stress and tackle “presenteeism”.
- Following the success of the leadership programme; roll out the **resilience model** and learning materials to the wider workforce.
- Enable and support managers to undertake **early engagement and return to work** and rehabilitation of those who are absent due to ill health.
- Support managers to effectively **identify risks and put preventative measures in place** to avoid exposing employees to physical or mental risk or ill health and ensure compliance with national standards and statutory requirements.
- Work with trades union colleagues to develop our approach to supporting employees with terminal illness.



NCC FTE Days Lost to Sickness Absence (rolling 12 month period)



Top 3 reasons for absence as at 31.03.2016 (rolling 12 month period)



Delivery of the Strategy

The strategy is accompanied by a **Workforce Strategy Delivery Plan** which sets out how the priorities will be delivered and progress against this reviewed each year. This will be supported by a set of detailed annual **Corporate Delivery Plans** with key performance indicators which include:

- Joint Employee Health and Wellbeing Action Plan – developed with trades union colleagues
- Health and Safety Action Plan
- Workforce Planning and Organisational Development Action Plan

The deliverables within these plans will be developed and co-ordinated through the integrated corporate HR function in conjunction with service areas. This will be informed and supported by robust management information, real time data and performance metrics. Their effective delivery depends on the competency and commitment of the Council's managers.

Detailed **departmental Workforce Development Delivery Plans** for the future Children's Workforce and Adults Social Care and Health Workforce also underpin the corporate strategy.

The **Smarter Working** and **Digital Transformation** programmes also intersect with the Workforce Strategy.

Related documents

For more information please contact
hrdutydesk@nottsc.gov.uk



“People doing things differently
through creativity and innovation”

**REPORT OF CORPORATE DIRECTOR, ADULT SOCIAL CARE, HEALTH
AND PUBLIC PROTECTION****ACCESSIBLE COMMUNICATION POLICY****Purpose of the Report**

1. The report is to request approval for an Accessible Communication Policy, as required by the Accessible Information Standard.

Information and Advice

2. The Accessible Information Standard was approved on the 24th June 2015. All organisations that provide NHS or adult social care must follow the accessible information standard by law. The legal context is set out in the Equality Act 2010, the Care Act 2014 and the Health and Social Care Act 2012, which lists the organisations which must have regard to the standard. Organisations must follow the standard in full by 31st July 2016. However there were more immediate deadlines for action in early April.
3. The aim of the accessible information standard is to make sure that people who have a disability, impairment or sensory loss get information that they can access and understand, and any communication support that they need. This is to ensure that they are not put at a substantial disadvantage in comparison with people who are not disabled, when accessing NHS or adult social services.
4. This includes accessible information and communication support to enable individuals to:
 - make decisions about their health and wellbeing, and about their care and treatment;
 - self-manage conditions;
 - access services appropriately and independently; and
 - make choices about treatments and procedures including the provision or withholding of consent.
5. As part of the accessible information standard, organisations that provide NHS or adult social care must do five things. They must:
 - ask people if they have any information or communication needs, and find out how to meet their needs
 - record those needs clearly and in a set way – ensuring that they are ‘highly visible’ on either electronic or paper records

- highlight or flag the person's file or notes so it is clear that they have information or communication needs and how to meet those needs – again this is suggested as electronic flags or alerts, where appropriate
 - share information about people's information and communication needs with other providers of NHS and adult social care, when they have consent or permission to do so – as part of existing data-sharing processes, and routine referral, discharge and handover processes
 - take steps to ensure that people receive information which they can access and understand, and receive communication support if they need it.
6. The Standard must be implemented and adhered to by all providers of NHS and publicly-funded adult social care, as well as suppliers of IT systems, software and hardware to health and adult social care organisations and providers.
 7. Although commissioners are exempt from implementing the Standard themselves, they must ensure that their actions, especially through contracting and performance-management arrangements (including incentivisation and penalisation), enable and support provider organisations from which they commission services to implement and comply with the requirements of the Standard.
 8. The scope of the Standard extends to individuals (patients and service users, and where appropriate the parents and carers of patients and service users) who have information and /or communication support needs which are related to or caused by a disability, impairment or sensory loss. This includes needs for: information in 'non-standard', alternative or specific formats; use of specific or alternative contact methods; arrangement of support from a communication professional (for example a deafblind manual interpreter or British Sign Language interpreter); and support to communicate in a different or particular way or to use communication aids (for example to lipread or use a hearing aid).
 9. The Standard is, therefore, of particular relevance to individuals who have sensory loss (including people who are blind, deaf or deafblind) and people who have a learning disability. However, it will also support people who have other communication disabilities such as aphasia, autism or a mental health condition which affects their ability to communicate. Individuals with any form or type of disability (or impairment) which affects their ability to read or receive information, to understand information, and/or to communicate, are within the scope of this standard.
 10. The Standard is primarily focused on the provision of adult social care services and as such was discussed at the Adult Social Care and Health Committee in April 2016. This report included the requirement for the Council to produce and publish an Accessible Communication policy by July 31st 2016. The draft policy is attached as Appendix A.
 11. The Adult Social Care and Health Committee also approved establishment of a temporary Project Manager post to ensure and support implementation of the Standard. This post has now been recruited to and the post-holder has started in the role. One of the tasks of the Project Manager will be to produce staff guidance to support the Council's policy.

12. The Project Manager is based within the Adult Social Care, Health and Public Protection department but will be required to work with teams across the Council to ensure the Standard is fully implemented, as well as with external organisations such as health. Although the focus is on adult social care services, it is expected that the principles of the Standard will be adopted across the Council as a whole in due course as they represent good practice in relation to the accessibility of information for all.

Other Options Considered

13. The Standard is required to be implemented by law.

Reason/s for Recommendation/s

14. One of the requirements of the Standard is for relevant organisations to produce and publish an Accessible Communication policy.

Statutory and Policy Implications

15. 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 services), the public sector equality duty, safeguarding of children and adults at risk, 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

16. The Standard may require some changes and new provisions for how information is presented and provided. This requirement will become clearer as the Council implements the Standard in full. There is a small communications budget within Adult Social Care, Health and Public Protection which will be used for any initial costs. If a larger budget is required, as the implementation work progresses, this will be subject to future committee approval.

Public Sector Equality Duty implications

17. The legal context for the Standard is set out in the Equality Act 2010. The aim of the Standard is to make sure that people who have a disability, impairment or sensory loss get information that they can access and understand, and any communication support that they need. This is to ensure that they are not put at a substantial disadvantage in comparison with people who are not disabled, when accessing NHS or adult social services.

Implications for Service Users

18. Implementation of the Standard is intended to improve the accessibility of information for people who need to use social care and health services. It will support people to make decisions and choices about their care and treatment, and to access services independently.

Ways of Working Implications

19. The Policy and related staff guidance will support staff to ensure that the Standard is implemented in practice.

RECOMMENDATION/S

That the Committee approves the Accessible Communication Policy.

David Pearson

Corporate Director, Adult Social Care, Health and Public Protection

For any enquiries about this report please contact:

Jennie Kennington

Senior Executive Officer (email: jennie.kennington@nottsc.gov.uk)

Constitutional Comments (LMc 28/06/16)

The recommendations in the report fall within the Terms of Reference of the Policy Committee.

Financial Comments (KAS 04/07/2016)

The financial implications are contained within paragraph 16 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.

- Approval of temporary post to support implementation of the accessible information standard – Adult Social Care and Health Committee report, 18th April 2016

Electoral Division(s) and Member(s) Affected

- All

Policy Library Pro Forma

This information will be used to add a policy, procedure, guidance or strategy to the Policy Library.

Title: Accessible Communication Policy

Aim / Summary: The aim of the Accessible Communication Policy is to make sure that people who have a disability, impairment or sensory loss receive information that they can access and understand, and any communication support that they need. This is to ensure that they are not put at a substantial disadvantage in comparison with people who are not disabled, when accessing adult social care services.

Document type (please choose one)

Policy	X	Guidance	
Strategy		Procedure	

Approved by:

Version number:

Date approved:

Proposed review date:

July 2017

Subject Areas (choose all relevant)

About the Council	X	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: Caroline Baria

Responsible team: Strategic Commissioning, Access and Safeguarding

Contact number:

Contact email:
caroline.baria@nottsc.gov.uk

Please include any supporting documents

1.

2.

3.

Review date	Amendments



Accessible Communication Policy

Context

1. The Accessible Information Standard was agreed by NHS England on 24 June 2015. All organisations that provide NHS or adult social care must follow the Accessible Information Standard. The legal context is set out in the Equality Act 2010, the Care Act 2014 and the Health and Social Care Act 2012.
2. The aim of the Accessible Information Standard is to make sure that people who have a disability, impairment or sensory loss get information that they can access and understand, and any communication support that they need. This is to ensure that they are not put at a substantial disadvantage in comparison with persons who are not disabled, when accessing NHS or adult social services.
3. Nottinghamshire County Council Adult Social Care and Health Committee agreed at their meeting on 18 April 2016 that the Council will develop and implement an Accessible Communication Policy to ensure the Accessible Information Standard is complied with.

Scope of this policy

4. This Policy is applicable to all Nottinghamshire County Council adult social care provision.
5. Although commissioners are exempt from implementing the Standard themselves, they must ensure that their actions, especially through contracting and performance management arrangements (including incentivisation and penalisation), enable and support provider organisations from which they commission services to implement and comply with the requirements of the Standard.
6. The scope of the Standard extends to individuals (patients and service users, and where appropriate the parents and carers of patients and service users) who have information and /or communication support needs which are related to or caused by a disability, impairment or sensory loss. This includes needs for: information in 'non-standard', alternative or specific formats; use of specific or alternative contact methods; arrangement of support from a communication professional (for example a deafblind manual interpreter or British Sign Language interpreter); and support to communicate in a different

or particular way or to use communication aids (for example to lipread or use a hearing aid).

7. The Standard is, therefore, of particular relevance to individuals who have sensory loss (including people who are blind, deaf or deafblind) and people who have a learning disability. However, it will also support people who have other communication disabilities such as aphasia, autism or a mental health condition which affects their ability to communicate. Individuals with any form or type of disability (or impairment) which affects their ability to read or receive information, to understand information, and/or to communicate, are within the scope of this Standard.
8. The accessibility of health and social care websites is out of scope of the Accessible Information Standard. However, the Standard remains relevant in circumstances where a health or social care professional would usually refer a patient or service user (or their carer) to a website for information. In these instances, it will be the duty of the professional and the County Council, to verify that the website is accessible to the individual and, if it is not, to provide or make the information available in another way.

Principles and Commitments

9. Accessible information and communication support will be provided to enable individuals to:
 - make decisions about their health and wellbeing, and about their care and treatment;
 - self-manage conditions;
 - access services appropriately and independently;
 - make choices about treatments and procedures including the provision or withholding of consent.
10. In providing adult social care services Nottinghamshire County Council will ensure that officers:
 - ask people if they have any information or communication needs, and find out how to meet their needs;
 - record those needs clearly and in a set way – ensuring that they are ‘highly visible’ on either electronic or paper records;
 - highlight or flag the person’s file or notes so it is clear that they have information or communication needs and how to meet those needs – again this is suggested as electronic flags or alerts, where appropriate;
 - share information about people’s information and communication needs with other providers of NHS and adult social care, when they have consent or permission to do so – as part of existing data-sharing processes, and routine referral, discharge and handover processes;
 - take steps to ensure that people receive information which they can access and understand, and receive communication support if they need it.

Key actions to meet the commitments set out in the policy

11. The Council will develop, implement and monitor an action plan to ensure compliance with the Accessible Information Standard. The action plan will:

- ensure recording systems and relevant documentation will enable the recording of information and communication needs in line with the standard, and that these will be highly visible;
- make sure that arrangements and protocols are in place such that information about individuals' information and / or communication support needs is included as part of existing data sharing processes, and as a routine part of referral, discharge and handover;
- arrange for guidance and procedures to be in place to enable professional communication support and information in alternative formats to be provided promptly and without unreasonable delay;
- ensure that staff awareness of policies and procedures with regards to provision of communication support and information in alternative formats is high and they are embedded as part of 'business as usual';
- ensure that contracts, frameworks and performance management arrangements reflect, enable and support implementation and compliance with the Standard by commissioned providers of adult social care.

12. The main focus of the policy, and supporting staff guidance, will be on the provision of adult social care services. However, the Council as a whole will look to adopt the principles of good practice promoted in the Standard in order to ensure accessible information for all.

13. This Policy will be reviewed by July 2017.

**REPORT OF THE CHAIR OF THE ADULT SOCIAL CARE AND HEALTH
COMMITTEE****UPDATE ON PROGRESS WITH ARRANGEMENTS TO INTEGRATE HEALTH
AND SOCIAL CARE IN MID-NOTTINGHAMSHIRE****Purpose of the Report**

1. To provide Members with an update on arrangements to integrate health and social care in Mid-Nottinghamshire.
2. To revise the outside bodies list and review requirements for future progress reports.

Information and Advice

3. The Better Together Alliance (the Alliance) is a partnership between Ashfield and Mansfield Clinical Commissioning Group (CCG), Newark and Sherwood CCG, Nottinghamshire County Council, six NHS health providers and voluntary sector partners.
4. The Programme's ambition is that everybody who uses both health and social care services in Mid-Nottinghamshire will experience integrated care; services will work together better in order to give the best care based on a person's personal circumstances. In addition, it aims to put in place joined up, responsive urgent care services that operate outside of hospital wherever possible.
5. The programme has the following core workstreams:
 - Urgent and Proactive care (including care for people with long term conditions such as Diabetes, Chronic Heart Disease, Stroke)
 - Elective Care
 - Maternity and paediatric care.

Governance – the Alliance Leadership Board

6. On 11 November 2015, Policy Committee resolved that a quarterly report would be provided to the Committee on the work of the Better Together Alliance's 'Leadership Development Board'. At the same meeting, it was agreed that the Mid-Nottinghamshire Alliance Development Leadership Board would be added to the Council's Outside Body appointment list and that the Chair of the Adult Social Care and Health (ASCH) Committee and the Corporate Director, Adult Social Care, Health and Public Protection, would be appointed as members of the Alliance Leadership Development Board.

7. The Alliance Leadership Development Board was responsible for the development of a legally binding agreement to create the formal Alliance of all the Better Together partner organisations. This work has now been completed and approval was given by ASCH Committee on 7th March for the Council to become a Full Member of the Alliance.
8. As reported at the April meeting of Policy Committee, the Leadership Development Board has now changed to the 'Alliance Leadership Board' with a revised Terms of Reference whereby each organisation has one formal voting member only. The Corporate Director for Adult Social Care, Health and Public Protection (or his authorised senior officer delegate) is the voting Nottinghamshire County Council member on this Board. The Chair of the Adult Social Care and Health Committee attends in an advisory, non-voting capacity.
9. It is recommended that the outside bodies list is now revised to indicate that the Corporate Director for Adult Social Care, Health and Public Protection (or his authorised senior officer delegate) is the County Council's representative on the Mid-Nottinghamshire Alliance Leadership Board and the Service Director, Mid Nottinghamshire, is the representative on the Operational Oversight Group. In light of this change it is timely to also review the reporting requirements to this Committee, which is in addition to regular reports to the Adult Social Care and Health Committee.

Update report on key integration developments within Mid-Nottinghamshire

10. Progress to date with key integration projects in Mid-Nottinghamshire is as follows.
 - **Local Integrated Care Teams (LICTs)** are eight multi-agency teams who proactively identify and work with people in their local GP population who may be at risk of admission to hospital. The CCGs fund eight social workers that are co-located within the teams. The Council successfully bid for £20,000 from the Local Government Association Care and Health Improvement Programme to fund a robust external evaluation of the impact of the teams on the demand for social care. The procurement of this is underway.

The Council's START Re-ablement service supports people in their own homes for up to six weeks, in order to help them regain their independent living skills and confidence after a period of ill-health or hospital stay. The potential for benefits from the closer alignment of this service with the LICTs is also being tested.

 - **The Self-Care Hub** based at Ashfield Health and Wellbeing Centre commenced in July 2015. Its main objective is to help people better manage their health condition(s) themselves. Social Work and Occupational Therapy Clinics are due to start in the centre from July 2016. Social care are also involved in discussions to develop a new Primary Care Hub at the Ashfield Health and Wellbeing Centre.
 - **Transfer to Assess** schemes aim to avoid people being delayed in hospital any longer than necessary. Once people are medically well enough to move out of an acute ward, any further assessments required will be carried out in another setting, ideally their own home. This has had a positive impact on reducing the number of Delayed Transfers of Care from hospital. The aim is now to support the shift to a 'Home First' ethos which means reducing the current heavy reliance on the use of

short term CCG funded residential and nursing care beds as the place of assessment. Plans are being developed to make greater use of Mansfield Community Hospital and Newark Hospital for people who require further assessment, but are not yet able to go home. More community based specialist intermediate care support will also be provided so that more people can be supported in their own homes whilst further assessment is completed.

- **Call for Care** is a service that health staff can contact to identify available services that can be put in place quickly to avoid emergency admissions. The service is being rolled out in stages and Phase One started in November 2015 for the ambulance service and GPs. The plan is that Social Care staff will be able to call the service to help to find support in a crisis by Autumn 2016. The Council's Customer Service Centre and Adult Access Service are involved to ensure it is clear how urgent social care needs identified by Call for Care will be responded to.
- **A review of the multi-agency discharge teams and processes** will take place at King's Mill Hospital in July/August 2016. The aim is to provide people being discharged from hospital with a more integrated approach from the three separate health teams, the Hospital Social Work Team and Housing Officer currently involved in this work.

Progress with priority projects during the transition period of the Alliance

11. The report to the April meeting of Policy Committee explained that further work was needed to determine the detail of how to implement some of the intentions of the Alliance. To accommodate this, the Agreement established a transition period to 31 August 2017.
12. At the end of the transition period, if agreement on the way forward has not been reached, then there will be a decision as to whether the Alliance reconfigures its membership or is dissolved. There is also an option to extend the transition period (acting unanimously) to allow more time for resolution.
13. A transition plan and associated work-streams are now in place and include the following priorities:
 - **developing new payment mechanisms for health providers** that move away from the current system of 'Payment By Results' to allocating funding to providers to deliver outcomes that meet the health and wellbeing needs of local populations (also referred to as a "capitated payment mechanism"). It has been agreed that this will exclude funding allocated as social care Personal Budgets. Work is underway to develop this model.
 - **expand the outcomes based payment model for the NHS service contracts**, to allocate a portion of funding based on achievement of agreed outcomes rather than specific activity. For example, this approach could mean that providers receive money for helping people to successfully manage their diabetes, rather than just for how many people they treat for it. Seven outcomes have been selected to test the new approach in 2016/17, with health providers having a proportion of their funding linked to agreed actions. The outcomes are: reducing attendance at A&E, reducing permanent admissions to residential care; reducing falls; reducing the prevalence of diabetes; improving patient

experience in decision-making; reducing unplanned hospitalisation for chronic ambulatory conditions; and increasing the number of people able to die in their preferred place.

- **agreeing the detail of how the sharing of risks and rewards will operate** across the partnership. A draft process has been developed and is due to be tested using scenarios.
- **establishing Care Design Groups** that involve a wider range of stakeholders in developing options for service redesign. These groups are in the review and planning stage.
- **ongoing development of new models of care** as described in paragraph 10 of this report.
- **a process for selecting social care provider Alliance members** is scheduled to be taken for approval to Adult Social Care and Health Committee on 11th July 2016. The process has been informed by an event for social care providers, a follow up survey and discussion.

Progress with Sustainability and Transformation Plans (STPs)

14. The work of the Mid Notts Alliance forms part of Nottinghamshire's Sustainability and Transformation Plan (STP). As reported at the April 2016 meeting of Committee, NHS planning guidance issued in December 2015 set out a new approach to help to ensure that health and care services are planned by place rather than solely around individual institutions, over a period of five years, rather than just a single year. The design and delivery of STPs are central to this. The Nottinghamshire STP covers a planning footprint containing the geographic areas of Mid-Nottinghamshire, South Nottinghamshire and Nottingham City. Bassetlaw has been included in the South Yorkshire planning footprint for STP purposes but has Associate Membership status of the Nottinghamshire STP. A full presentation on progress with Nottinghamshire's STP was given to the Adult Social Care and Health Committee on 13th June 2016.
15. Nottinghamshire County Council's Corporate Director of Adult Social Care, Health and Public Protection is the Lead for the Nottinghamshire STP. A Programme Director has been appointed and supporting governance arrangements established including a Steering Group and Operational Oversight Group. Wider stakeholder workshops have been held to inform local analysis and planning on how to close the three main gaps identified as national priorities for STPs: Health and Wellbeing; Care and Quality; and Finance and Efficiency.
16. Work is on track to meet the national requirement to submit a first 'checkpoint' draft by 30th June 2016. This will be followed by an assurance visit from the NHS England team in July. The Council is awaiting confirmation of the date for submission of Nottinghamshire's final version, which will need to have been approved through each organisation's own governance processes.

Other Options Considered

17. No options are proposed as this is a report for information.

Reason/s for Recommendation/s

18. To provide a quarterly update as previously agreed by Policy Committee.

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 services), the public sector equality duty, safeguarding of children and adults at risk, 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. There are no financial implications arising directly from this report.

Implications for Service Users

21. The overall aim of the Better Together programme is to deliver improved health and social care outcomes for service users.

RECOMMENDATION/S

That the Committee:

- 1) notes the update on the development of integrated health and social care arrangements in Mid-Nottinghamshire
- 2) approves the recommended revision of the outside bodies list as set out at **paragraph 9** of this report and reviews future reporting requirements.

Councillor Muriel Weisz
Chair of Adult Social Care and Health Committee

For any enquiries about this report please contact:

David Pearson
Corporate Director
Adult Social Care, Health and Public Protection
T: 0115 9773919
E: david.pearson@nottsc.gov.uk

Constitutional Comments (LM 23/06/16)

22. The recommendations in the report fall within the Terms of Reference of the Policy Committee.

Financial Comments (KAS 21/06/16)

23. There are no financial implications contained within 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.

- Integration with Health in Mid-Nottinghamshire – report to the Adult Social Care & Health Committee on 2 November 2015
- Appointment to Mid-Nottinghamshire Alliance Development Leadership Board – report to Policy Committee on 11 November 2015
- Integrating health and social care in Nottinghamshire – report to Policy Committee on 10 February 2016
- The Mid-Nottinghamshire “Better Together” Alliance Agreement contract – report to Adult Social Care and Health Committee on 7 March 2016
- Better Care Fund Plan 2016-17 – report to Health and Wellbeing Board on 6 April 2016
- Update on progress to integrate health and social care in Mid-Nottinghamshire – report to Policy Committee on 20 April 2016
- Selection process for social care providers to join the Mid-Nottinghamshire ‘Better Together’ Alliance – report to Adult Social Care & Health Committee on 11 July 2016.

Electoral Division(s) and Member(s) Affected

All.

ASCH414

REPORT OF THE LEADER**RURAL SERVICES NETWORK – REVIEW OF MEMBERSHIP****Purpose of the Report**

1. To seek approval for the County Council to renew its membership of the Rural Services Network.
2. Subject to 1 above, to seek approval for the nomination of a County Council representative to the Rural Services Network.

Information and Advice

3. The Rural Services Network (RSN) was set up in 2014 to bring together rural local authorities and service providers and to share information on key rural issues, including best practice. It is a special interest group of the LGA and operates through two sub-groups: the Sparse Rural special interest group, and the Rural Assembly, with an annual conference each September, held in partnership with the LGA.
4. Membership provides access to a range of services including e-newsletters, networks and best practice relating to housing, economic development, health, environment, community and crime, in addition to seminars for officers and Members. The County Council's membership of the RSN also gives parishes in Nottinghamshire access to the Rural Services Community, including the Neighbourhood Planning Evidence Base.
5. Nottinghamshire County Council agreed to join the Rural Services Network in 2014. The initial cost of joining was £495 for 2014/15, with an increase to £1,800 per year (for a minimum of three years) if the Network's efforts could be demonstrated to have achieved additional grant funding of £8,000 or more for the County Council. It was also agreed that the Leader would be the County Council's representative on the Network in the first instance, and that membership and representation would be reviewed annually.
6. Membership of the network is beneficial to the authority and it is recommended that this continues. The Rural Services Network has identified the following benefits to the County Council as a result of its efforts:
 - In 2016/17, £1,979,632.64 in transitional relief received by the County Council through the efforts of the RSN in support of the Rural Fair Share Group of MPs.
 - Over £500,000 a year of Rural Service Delivery Grant from 2013/14 onwards, as a result of the RSN's work with DCLG to change the weighting given to sparsity in the local government funding formula. This is 25% of the total gained following the

application of the new weighting, the remainder being lost due to “damping” by Government.

Work on alternative distribution methods for the Rural Service Delivery Grant has been commissioned from LGFutures and the RSN is continuing to fight for the full amount to be paid.

7. Officer support is provided through the County Council's Conservation Team. It is suggested that the representative for 2016/17 be nominated by the Team Manager, Democratic Services after consultation with the Business Manager of the Labour Group.

Other Options Considered

8. The authority could decide not to renew its membership of the Rural Services Network, but would thereby lose the opportunity to influence debate or share good practice.

Reason/s for Recommendation/s

9. To enable the County Council's continued participation in the Rural Services Network special interest group.

Statutory and Policy Implications

10. 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

11. The cost of renewing membership of the Network is £1,800 for 2016/17 through to 2018/19. The cost of membership can be met from the budget for membership subscriptions.

RECOMMENDATION/S

- 1) That the County Council renews its membership of the Rural Services Network.
- 2) That, subject to Recommendation 1 above being agreed, further discussions take place with the Labour Group Business Manager to enable a County Council appointment to be made to the Rural Services Network.

Councillor Alan Rhodes
Leader of the County Council

For any enquiries about this report please contact:

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Heather Stokes, Team Manager, Conservation.

Constitutional Comments (LMc – 1/7/16)

12. The recommendations in the report fall within the Terms of Reference of the Policy Committee.

Financial Comments (RWK – 4/7/16)

13. The financial implications are set out in paragraph 10 of the report.

Background Papers and Published Documents

- None.

Electoral Division(s) and Member(s) Affected

All

REPORT OF THE LEADER OF THE COUNCIL**CONSULTATION ON THE SHEFFIELD CITY REGION COMBINED
AUTHORITY SCHEME – PROPOSED COUNTY COUNCIL RESPONSE****Purpose of the report**

1. To outline Nottinghamshire County Council's approach in responding to the consultation on proposals to create a Mayoral Combined Authority for the Sheffield City Region, with the inclusion of Bassetlaw District Council as a constituent member, and to seek delegated authority for the final response to be submitted by the Chief Executive, following consultation with Group Leaders.

Background

2. Bassetlaw District Council has decided to apply to become a constituent member of the Sheffield City Region Combined Authority (SCR CA). Chesterfield Borough Council has made a similar decision. The SCR CA has been working with Government to determine the process to establish both the new mayoral powers and functions and, at the same time, to extend its geographical boundaries. As a consequence, the SCR CA will submit a proposal which incorporates these changes to the Secretary of State. Appendices to this report contain details of the current and proposed arrangements for the SCR CA.
3. In order to meet the timelines required for a proposed mayoral election in May 2017, the SCR CA is now formally consulting on a proposed Scheme. The Scheme details how the new combined authority would work given the additional constituent members. Alongside the scheme, the SCR CA is also required to publish a Governance Review. This details the responsibilities of, and decision making process for, the Combined Authority and also has to demonstrate how the SCR CA proposal will satisfy the statutory tests as set out by the Government. The statutory tests require the proposed arrangements to bring about improvements to:
 - the exercise of statutory functions relating to economic development, regeneration and transport in the area;
 - the effectiveness and efficiency of transport in the area;
 - the economic conditions of the area;
 - In addition, the combined authority has to demonstrate that the new arrangements will have neutral or no impact on the identities and interests of local communities and that they will secure effective and convenient local government.

4. If Bassetlaw District Council's constituent membership of the SCR CA is confirmed by the Secretary of State, Nottinghamshire County Council will automatically become a constituent member with respect to certain powers and functions as they relate to the Bassetlaw area. The proposed scheme is attached as Appendix A which details all the powers and functions in question. Determining how this will work is complex, as it requires clarity regarding both the use of statutory powers and the extremely detailed budgetary arrangements, which could have a significant impact on the County Council.
5. As a consequence of the potential constituent member status of the County Council, the Leader, Chief Executive and officers have been actively engaged with the SCR CA to ensure the County Council's interests in relation to Bassetlaw are recognised and protected. Every effort is being made to ensure that, if the decision made by the Secretary of State is affirmative, the County Council will have a plan in place to manage the outcome. Derbyshire County Council is in a similar position with regard to Chesterfield. The County Council would wish to be a positive and active partner to the SCR CA if Bassetlaw's constituent membership is confirmed to ensure that the Bassetlaw area gains the best possible outcomes.
6. In terms of the process and timeline, the SCR CA launched its formal Scheme consultation on Friday 1st July with a closing date of Friday 12th August. The SCR CA will then, at its meeting on 12th September, consider the consultation responses and agree a summary submission to be made to the Secretary of State. It is anticipated that the Secretary of State will then make a decision and lay draft Orders in order to create the new combined authority (which will need to be ratified by both Houses of Parliament) in November, paving the way for a mayoral election on May 4th 2017.
7. The County Council intends to respond to the consultation to the SCR CA as well as directly to the Secretary of State. In its response to the consultation, it is recommended that the County Council should set out that it does not consider that the statutory tests have been adequately met by the combined authority proposal for the following reasons:
 - The Governance Review and Scheme set out complicated governance arrangements that are not reflective of, or appropriate for, a two-tier council area with split functions and responsibilities. Certain statutory functions relating to transport will be retained by the County Council, whereas others will be held either concurrently by the County Council and SCR CA or solely by the SCR CA, which will become the Local Transport Authority for the whole Sheffield City Region area. This could lead to confusion regarding responsibilities, accountability and effectiveness and could lead to inefficient service delivery. Policies and service provision vary between the County Council and SCR adding further confusion.
 - The County Council has prioritised the creation of an integrated transport network across the county, which brings together commercial and subsidised bus services with those provided for children with special educational needs and older adults. The County Council considers this to be the most effective, efficient and resilient way of delivering such transport services in the county and would challenge any change to these arrangements by the SCR CA or Mayor. This is particularly important given the high levels of public subsidy that transport services in Bassetlaw require; only 40% of bus services are commercially viable in the district;
 - Of principle concern to the County Council is how the public and businesses will be informed about the work of the Mayor and the combined authority and how confusion

or criticism about more complicated delivery arrangements will be mitigated. In its response, the County Council will set out examples (particularly related to highways) where there is a real risk of a lack of clarity regarding operational and democratic accountability for services under the proposed arrangements;

- Bassetlaw is intrinsically part of Nottinghamshire and its residents and communities have economic, social, cultural and family ties with the rest of the county. Bassetlaw District Council has rebranded its own place shaping and marketing activity under the 'North Nottinghamshire' name, emphasising the area's status as part of the wider county. Constituent membership of the SCR CA and in particular the notion of a Sheffield City Region Mayor having powers over Bassetlaw will, in the view of the County Council, have a detrimental impact on the identities and interests of local communities across Bassetlaw, particularly those that are away from the Worksop conurbation.
- In terms of securing 'effective and convenient local government', the County Council refutes the proposition that the Scheme delivers this objective. Residents of Bassetlaw will effectively experience a further two tiers of governance (the combined authority and the Mayor) implemented in their area, with associated financial implications (i.e. potential mayoral and transport precepts on Council Tax payers and a levy on the County Council as a constituent member of the SCR CA). It is difficult to see how this could be regarded as effective and convenient local government.

Subject to the views of Policy Committee, officers will work up a detailed response, with a robust evidence base, fleshing out the general position as outlined above.

8. Work continues between officers from the County Council, SCR CA, Bassetlaw and the Government with regular meetings on the broader governance issues, as well as on the specific areas and issues surrounding Highways and Transport. It has not been easy to gain clarity on how this will work, either from SCR CA or from Government. This is partly due to the fact that it is the first time this has been proposed. However, clarity over ongoing responsibilities for highway asset management (maintenance and liabilities), for transport provision and for commissioning of services is essential to ensure continuity of provision for residents.
9. The Governance Review maintains that Bassetlaw forms part of the Sheffield City Region 'functional economic area'. The County Council's response will challenge this assumption on the basis that there is a defined gap between urban areas of the Sheffield City Region and Bassetlaw district. In addition, the Worksop and Retford Travel to Work area (2011 census) is relatively self-contained, with only 16% of Bassetlaw residents travelling to work in the Sheffield City Region. 62% of Bassetlaw's workforce reside within the district and only 10% of Bassetlaw's workforce commute in to the district from the Sheffield City Region. Further work will be undertaken for the detailed submission to demonstrate the strong economic linkages between Bassetlaw and the rest of Nottinghamshire.

Voting arrangements

10. The Leader of the County Council and senior officers have made representations to the SCR CA about proposed voting arrangements within the scheme which, as drafted, currently give the County Council (and Bassetlaw District Council) one vote each, as opposed to the two votes each proposed for the metropolitan council members. The County Council's position is that constituent members should have equal voting rights. The County Council

will expand on its position in its response. Additionally, government officials have encouraged the County Council and the SCR CA to work together over the summer to seek to resolve this issue and propose suitable voting arrangements that protect the interests of all parties.

11. It is recommended that the County Council also confirms, in its response, that unanimous voting of all constituent members must be just that – unanimous. At present, neither County Council is included in statements in the Scheme regarding voting to determine the Combined Authority's Single Pot budget. There is also no clarity about what other decisions might require unanimity and where, therefore, the County Council's influence might be more limited.

Other options considered

12. None. The County Council is a statutory consultee to the Sheffield City Region Combined Authority consultation process. The County Council submitted a consultation response ahead of the existing Sheffield City Region Combined Authority being established in April 2014. Given the more direct implications of the latest proposals for a Mayoral Combined Authority and Bassetlaw's request for constituent membership, it is considered that a County Council response is essential. It is proposed that a balanced response as set out in this report is further developed and submitted by the 12th August deadline.

Reason/s for Recommendation/s

13. To secure Policy Committee approval for delegated authority for the Chief Executive, in consultation with Group Leaders, to submit a response from the County Council to the Sheffield City Region Combined Authority consultation in line with the broad principles established in this report.

Statutory and Policy Implications

14. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, 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 in the body of the report.

Financial Implications

15. The County Council's response to the consultation will need to consider the financial implications both for the County Council and, arguably more importantly, for residents of Bassetlaw. The combined authority will be a levying body under Section 74 of the Local Government Finance Act 1988 and as such will have the power to issue a levy to its constituent councils, in respect of the expenses and liabilities of the combined authority which are reasonably attributable to the exercise of its transport functions.

16. In addition, the Scheme states that other costs that are not raised by way of a levy, or through other devolved funds, will be met by the constituent and non-constituent councils. The Scheme states that apportionment of these costs is to be determined.
17. Finally, the Mayor will have the ability to raise finances for specific mayoral priorities through a precept on residents' Council Tax bills. Notwithstanding all of this, the SCR CA scheme does set out the principle that the implementation of the Scheme should not lead to an increase in Council Tax bills for residents, 'without a further explicit policy decision'.
18. There are potentially further financial implications with the creation of a single, consolidated local transport budget for the Sheffield City Region area. Latest advice from the Department for Transport suggests that this will include capital funding they allocate to Integrated Transport Measures, Highways Maintenance and Highways Incentive funding streams. How a split of this nature could work is not clear given that Highways are delivered through an essential mixture of local revenue funding, as well as DfT capital. Budget issues are also a major issue for transport. Officers are working through the detail of this as it might apply to Bassetlaw, with the SCR CA and Department for Transport. Once formal proposals are developed, the implications of these for Nottinghamshire County Council will be reported separately to Transport and Highways Committee.

RECOMMENDATIONS

It is recommended that:

1. Policy Committee delegates authority to approve the final response to the Sheffield City Region Combined Authority Scheme proposal to the Chief Executive, following consultation with the Group Leaders.
2. That a copy of the final response is provided to all members of the Policy Committee (and posted on the County Council's website)
3. That the Chief Executive and relevant officers are authorised to continue discussions with SCR CA officers to seek agreement to the inclusion of the amendments sought within the consultation response.
4. That a copy of the consultation response is also sent directly to the Secretary of State and the SCR Local Enterprise Partnership.

Report author: Matt Lockley, Acting Programme Director, Economic Development and Devolution

For any enquiries about this report please contact: Matt Lockley, ext 72446

Constitutional Comments [SLB 04/07/2016]

Policy Committee is the appropriate body to consider the contents of this report.

Financial Comments [RWK 04/07/2016]

The potential financial implications of the proposed SCA CA scheme are outlined in paragraphs 15 to 18. The detailed financial implications will not be known until further discussions regarding the proposed SCA CA and its implementation have taken place. The detailed financial implications will therefore be the subject of future reports to Committee.

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.

The Sheffield City Region Combined Authority Governance Review, Scheme and consultation questions are available here: <http://sheffieldcityregiondevolution.org.uk/>

Electoral Division(s) and Member(s) Affected

All

Fit for devolution:



Developing a model of
mayoral governance within
the Sheffield City Region

June 2016

Part 1
The Governance Review
(June 2016)

1. About this document

- 1.1. This document has been prepared by the Sheffield City Region Executive Team, on behalf of the nine local authorities that form the Sheffield City Region (SCR) and the business representatives of the SCR LEP Board. This document details the findings of a Governance Review that has been undertaken by the Sheffield City Region Combined Authority under Section 111 of the Local Democracy, Economic Development and Construction Act 2009 (“LDEDCA”) as amended by the Cities and Local Government Devolution Act 2016.¹ The two County Councils of Derbyshire and Nottinghamshire have also provided considerable input into this review.
- 1.2. Section 111(1) of LDEDCA provides that an existing combined authority may undertake a review of one or more “combined matters”. Combined matters include the:
 - (a) boundaries of a combined authority area (s.106);
 - (b) election of mayors for the combined authority area (s.107A) and
 - (c) functions conferred on any mayor (s.107D).
- 1.3. Where a review has been undertaken under section 111 and a relevant authority concludes that an order made under one or more of sections 104-107 of LDEDCA (as amended) would be **likely to improve the exercise of statutory functions in relation to that area**, the authorities may prepare and publish a Scheme relating to the exercise of the power or power in question (s.112).
- 1.4. The Secretary of State has the power to make an order under section 104-107 if he considers that to do so:
 - (a) is likely to improve the exercise of statutory functions in the area or areas to which the order relates (s.113(1)(a));
 - (b) a public consultation has been carried out (s.113(1)(c));
 - (c) a summary of that consultation has been provided to the Secretary of State ((s.113(2)(b));
 - (d) the Secretary of State considers no further consultation to be necessary ((s.113(2)(c)).
- 1.5. In making any order, the Secretary of State must have regard to the need: **to reflect the identities and interests of local communities** and; **to secure effective and convenient local government**. When undertaking this Governance review, the Sheffield City Region has paid particular attention to these factors when considering the addition of two areas to the CA’s footprint (see Section 6 of this document in particular).

¹ <http://www.legislation.gov.uk/ukpga/2016/1/contents/enacted>

- 1.6. This document should be read alongside the 'Scheme' for the Mayoral Combined Authority (MCA) – which is included at Part 2 of this document and the summary of consultation included at Part 3 of this document [to be added September 2016].
- 1.7. In the preparation of this document and in relation to any future decisions based on these documents, the existing Combined Authority (including all constituent and non-constituent members) have had full regard to their Public Sector Equality duties as set out in section 149 of the Equality Act 2010 (the Act). A full Equality Impact Assessment will be made available to the Secretary of State.
- 1.8. For further information on this Review and Scheme please contact:

David Hewitt
Sheffield City Region Executive Team
11 Broad Street West
Sheffield
S1 2BQ

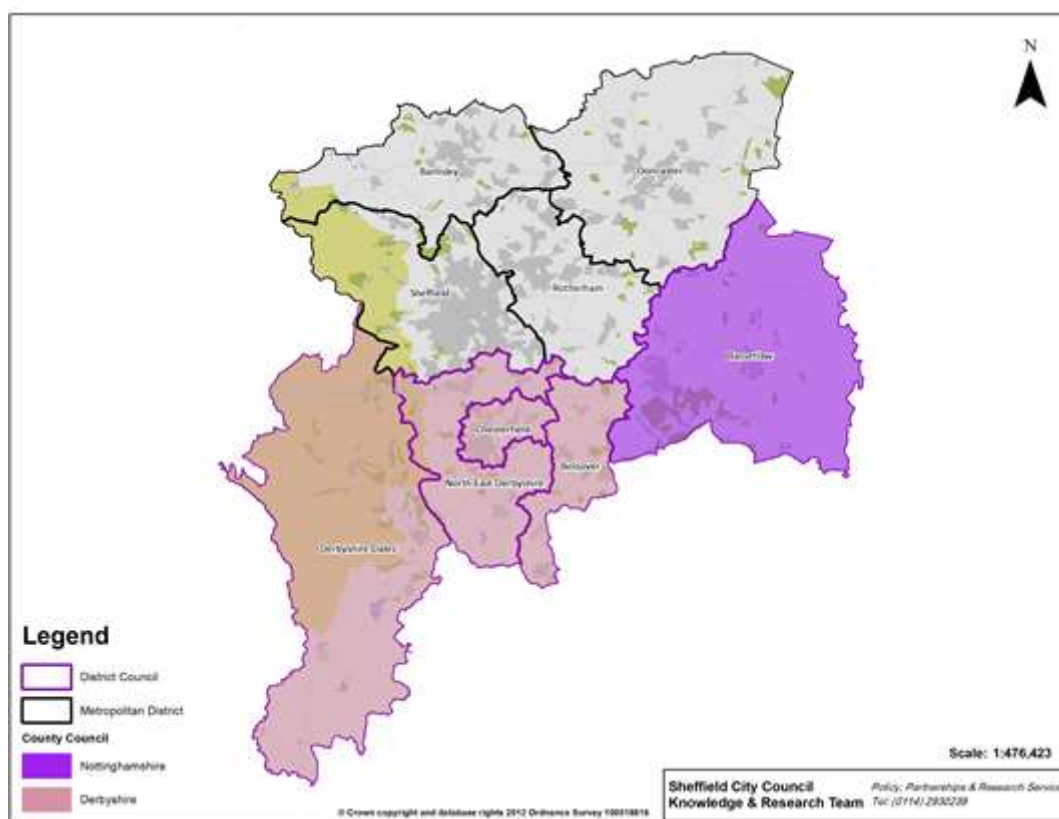
Telephone: 0114 2203459

Email: david.hewitt@sheffieldcityregion.org.uk.

2. Executive Summary

- 2.1. The nine local authorities that make up the Sheffield City Region (SCR) have a long history of collaboration at a scale that reflects the natural economic geography of the region (see *figure 1*).² The original impetus for this collaboration was the Northern Way agenda, which was designed to unlock the potential for faster economic growth and to bridge the £30 billion output gap between the North and the rest of the United Kingdom.

Figure 1 – the Sheffield City Region



- 2.2. This collaboration was formalised through the Sheffield City Region Local Enterprise Partnership (LEP) which, building on the SCR Forum, was formed in October 2010. By 2012, there was a general consensus that the SCR had outgrown its existing governance structures and arrangements, which were based on informal, voluntary partnerships without any independent legal status. Accordingly, SCR Leaders took the view what the time was right to take SCR governance to the “next level” (i.e. from informal collaboration to joint decision making) and “put into legislation that which we [the SCR] have been doing by consent for some time”.³

² Barnsley Metropolitan Borough Council; Doncaster Metropolitan Borough Council; Rotherham Metropolitan Borough Council; Sheffield City Council; Bassetlaw District Council; Bolsover District Council; Chesterfield Borough Council; North East Derbyshire District Council and Derbyshire Dales Districts Council.

³ SCR Governance Review Workshop 1 - 20th July 2012.

- 2.3. In April 2013, the Sheffield City Region was the first area to submit plans to form a combined authority to the Coalition Government and in April 2014, the Sheffield City Region Combined Authority⁴ was formed. The public-private partnership now in place was described in the Management Journal (MJ) by urban development expert Bruce Katz as “a model for the rest of the world”. Central to this partnership is the integration of the LEP and the CA into one governance structure, combining the best of public and private leadership and capacity.
- 2.4. The tangible benefits of this collaboration can now be seen in, for example, the SCR securing a Devolution Deal amounting to £484m (2016-2021). The “Deal”, which is one of the largest individual settlements for any combined authority area,⁵ covers a range of themes including skills and employment; housing, planning and public assets; innovation, advanced manufacturing and business growth and transport.
- 2.5. The deal also includes elements of fiscal devolution (retained business rates) and changes to City Region-level democratic structures. Specifically, the proposal makes clear that any ‘deal’ is contingent upon the Sheffield City Region adopting a model of mayoral governance, with the first elections being in May 2017.
- 2.6. The Devolution Deal will fundamentally improve and transform the economic performance of the Sheffield City Region and further the priorities set out in the City Region’s Strategic Economic Plan.⁶ To deliver on this deal the maximum effect, the SCR must:
- (a) enhance the Combined Authority, so that it becomes a “mayoral” Combined Authority (“MCA”) with a directly elected “SCR Mayor” chosen by residents from the constituent areas;
 - (b) give the MCA the powers it needs to deliver the Deal and the SCR’s Strategic Economic Plan;
 - (c) expand the area of the Combined Authority, bringing it far closer to the functional economic area which is the Sheffield City Region.
- 2.7. This SCR Governance Review has been undertaken in the context of an evolving (and overwhelmingly productive) relationship between the SCR and Government. Accordingly, the question for the SCR governance review has not just been ‘are SCR governance arrangements sufficient today?’ – rather – ‘will SCR governance structures and arrangements be sufficient to deliver the SCR’s medium to long-term ambitions?’
- 2.8. The central conclusion of this review is that the structural changes and powers set out in the Scheme Document (Part 2):

⁴ <http://sheffieldcityregion.org.uk/about/the-sheffield-city-region-authority/>

⁵ Taking into account relative population size.

⁶ <http://sheffieldcityregion.org.uk/wp-content/uploads/2013/12/Deal-and-Plan-Executive-Summary.pdf>

- (a) **will improve the exercise of statutory functions** in the area or areas to which the order relates i.e. the 6 constituent areas (see Section 2 of the Scheme at Part 2);
 - (b) **will have a neutral or no impact on the identities of local communities** – these proposals are about the economy and not about the identity of an area which has been working closely together for a number of years (and reflects the way in which the “real” economy works);
 - (c) the arrangements **will secure more effective and convenient local government**, reduce complexity and streamline the delivery of public services:
 - (i) within the combined authority area;
 - (ii) for those areas within the SCR but outside the combined authority area (non-constituent areas);
 - (iii) for neighbouring areas.
- 2.9. Despite the changes suggested, the non-constituent areas of the SCR remain key participants in the ongoing work of the MCA and LEP. Under the proposals detailed in the Scheme document, the areas of Bolsover, Derbyshire Dales and North East Derbyshire will remain non-constituent members of the MCA. As has previously been the case, the MCA will extend voting rights to these areas on all relevant and appropriate matters. For functions such as strategic spatial planning, these non-constituent areas will have the option to work together in partnership with the other members of the MCA, but will never be forced to do so.
- 2.10. Any short-term complexity associated with these proposed changes (e.g. in relation to public transport) will be dealt with through transitional arrangements and through the co-design of future operating models with neighbouring areas. These short-term issues should not detract from the longer-term ambitions of this review and of the SCR i.e. to improve the exercise of statutory functions in order to facilitate economic growth.
- 2.11. The key ‘pillars’ and rationale for this central conclusion is that:
- (a) the SCR is a leading City Region with a strong public-private partnership;
 - (b) grounded in the Strategic Economic Plan – our business and political leaders have negotiated an ambitious devolution settlement with Government to grow the City Region’s economy;
 - (c) a stronger MCA will enable the SCR to deliver on the Devolution Deal and the vision set out in our Strategic Economic Plan.
- 2.12. The remainder of this document expands upon those points set out above, sets out the Scheme for an enhanced “Mayoral” Combined Authority (Part 2) and provides a

summary of the consultation undertaken in relation to this review [Part 3 – to be added in September 2016].

Extending the geography

- 2.13. The first section of this governance review set out how the new powers that the MCA will have will improve the delivery of the statutory functions of the MCA. These points are based on the principle that local leaders rather than national government are better placed to make decisions on issues such as transport and skills.
- 2.14. The second key premise of this governance review is based on a similar simple principle; that because **the economy, the transport connections and the shared challenges of the current CA members are inextricably interwoven with that of Bassetlaw and Chesterfield** then these two areas **should become constituent members of the SCR CA** to maximise the benefits that flow from control over skills, transport and planning as well as the additional resources available to be afforded the residents and businesses of those two places.
- 2.15. When considering the issue of planning transport system flows and investment in key routes then if (as is the case) that the commuter flows from Chesterfield into Sheffield are strong then it is entirely logical that the interests of residents in Chesterfield are better served by an SCR MCA operating over a shared transport function through a single Local Transport Authority. This single LTA would for example be able to deliver the Smart Ticketing and investment required through the devolved, consolidated single transport budget more effectively than under current arrangements.
- 2.16. The Sheffield City Region is a functional economic area; and as such the administrative geography should match the functional economic geography. This is a functioning city region with great scale and great opportunity. Section 6 has demonstrated that there is a strong interrelationship between the South Yorkshire districts of Barnsley, Doncaster, Rotherham, and Sheffield and the economies of Bassetlaw and Chesterfield. On balance, it is clear that these economies are part of the SCR whilst remaining firmly part of the counties of Nottinghamshire and Derbyshire.
- 2.17. **If our economies are so connected then it is logical for the footprint of the SCR Mayoral Combined Authority to be extended to include areas beyond those of South Yorkshire.** The conclusion of this governance review and the Scheme that is presented as a result of this review is that there is a strong rationale in extending the constituent membership of the SCR CA to include the two districts who, through their own local democratic processes, have set out their intention to pursue constituent membership of the MCA.
- 2.18. In so doing these areas are ensuring that the new MCA exercises control over skills, transport, new investment and aligns spatial planning, housing investment far more

effectively. The alternative is that these powers and functions stop arbitrarily at the South Yorkshire boundary. Economies do not work in such arbitrary fashion and nor should the Sheffield City Region MCA.

- 2.19. In addition, because there are similar shared challenges across the Sheffield City Region there is a clear rationale for including these areas within the Mayoral Combined Authority footprint to benefit from spatial planning, aligned policy development on shared issues and the investment to be made through the additional £900m of funding of new initiatives to support economic growth.
- 2.20. Both areas, have taken decisions at their respective Full Councils to seek constituent status membership of the SCR CA and non-constituent status of Derbyshire and Nottinghamshire respectively. It is important to remember in this governance review that there is no suggestion that there is no economic relationship between the district councils and the County Council. But, on **the balance of evidence** it is clear that the relationship is stronger with the areas to the north, rather than the south of Bassetlaw and Chesterfield.
- 2.21. Devolution, and more specifically, the powers to be drawn down through the 2016 Order, will therefore improve the ability of the SCR CA to deliver growth and reform for the people and businesses of the Sheffield City Region.

3. A leading City Region with a strong public-private partnership

- 3.1. As set out in *Figure 2* below, the SCR is on a “devolution journey”. This began with the SCR delivering government-led initiatives to an exceptional standard and is increasingly, through a process of “earned devolution”, leading to the devolution of substantial budgets and initiatives through a multi-year “single pot” of funding and greater retention of revenue raised locally. Such devolution goes with the grain of recent policy initiatives such as the “Northern Powerhouse” which, at its heart is about the devolution of powers and funding to the English regions in order to facilitate economic growth.
- 3.2. This devolution journey began some time ago, with the creation of some joint South Yorkshire services following the abolition of South Yorkshire County Council in 1986. By the time of the SCR Forum, the Region was thinking well beyond traditional administrative boundaries and this led naturally to the formation of the private sector-led SCR LEP in October 2010.

Figure 2 – the Devolution Journey



- 3.3. Since 2012, using our local levers and the tools given to the SCR by Government, the SCR has been generating significant benefits including supporting companies to create 3,750 jobs, take on 1,700 apprentices and upskilling 1,300 people. This is only the beginning as the SCR has now started to deliver its multi-year Growth Deal programme of investment, forecast to create a further 15,000 jobs by 2021.
- 3.4. Since the LEP’s formation, the SCR has:

(a) **Delivered economic growth**, unlocking private sector investment and jobs.

Including:

- i. Created the UK's #1 Enterprise Zone for Modern Manufacturing and Technology. This Enterprise Zone is home to 18 new companies, ~500 new employees and 160 students training at the University of Sheffield's AMRC Training Centre. The Financial Times' FDi magazine ranked the Enterprise Zone as number 1 in the UK and number 37 in the world.
- ii. Managed a leading (RGF-funded) business investment programme called "Unlocking Business investment". LEP-led, the programme invested £30.6m in 130 companies across the Sheffield City Region, from a small chocolatier in the Derbyshire Dales to large multi-national company in the aerospace sector. This programme has unlocked £208m of private investment, leading to the creation of 2,800 jobs across the City Region. The estimated GVA contribution of the programme is £130m, representing substantially better value for money than the national programme.⁷
- iii. Invested £23.2m through our "JESSICA" investment fund - expected to deliver over 38,000 square metres of employment floor space and 2,200 jobs.

(b) **Good governance** – bringing together the best of the public and private sectors to provide efficient, effective and transparent decision making:

- i. The SCR was first area in the country to agree a Devolution Deal with the current Government – reflecting the area's position at the vanguard of the devolution agenda.
- ii. The SCR has built a robust governance model – built around our thematic Executive Board model that brings together our public and private board members from our LEP and CA.
- iii. The SCR Secured a £350m Growth Deal – structured against the SCR's priorities in relation to Skills, Infrastructure and Business Growth. The Growth Deal allocation was 52% more than if allocated on a per capita basis, reflecting the quality of SCR's Strategic Economic Plan that was submitted to Government. The SCR also secured this investment with the greatest level of flexibility on the basis of its robust governance arrangements.
- iv. The SCR is leading the way nationally on designing local solutions to skills issues – in October 2016 we became the first LEP area to secure a

⁷ NAO (2014) progress report on the Regional Growth Fund.

commitment to the full devolution of the Adult Education Budget (see below).

(c) **We prioritise** – the City Region makes difficult decisions to prioritise investment to deliver the vision and outcomes of our Strategic Economic Plan:

- (i) Based on economic impact, we have developed a “best in class” approach to the selection of infrastructure schemes. The Sheffield City Region Investment fund (SCRIF) is forecast to unlock 24,000 jobs and 13,000 homes through investment in infrastructure. 19 schemes will have “spades in the ground” by the end of 2016. Prioritised on the basis of their economic impact, this programme of schemes goes beyond transport investment to wider site assembly to bring forward key development sites.
- (ii) The SCR has developed an Integrated Infrastructure Plan – only the second IIP in the country, designed to be the commissioning plan for the infrastructure schemes needed to be able to realise the economic ambitions of the Strategic Economic Plan.

3.5. As detailed in the following section of this review, the October 2015 Devolution Deal was another significant achievement for the SCR and a decisive step forward on this devolution journey.

4. Grounded in the Strategic Economic Plan – our business and political leaders have negotiated an ambitious devolution settlement with Government.

4.1. The entire premise of the SCR CA is that decisions that are about creating economic growth are best made, where possible at the lowest level of government and that for too many years there has been an overly centralised approach to economic growth. Nationally the government has recognised that there are powers and functions that can be more effectively delivered locally whilst there has also been an acknowledgment locally that for some functions a wider partnership of local councils is required to deliver functions that are best done on a city region wide basis; namely that they better reflect the way in which the “real” economy works.

4.2. On 2 October 2015, SCR political and business leaders secured a Devolution Agreement with the Chancellor of the Exchequer. The deal involves the significant devolution of power and funding from Whitehall to local leaders in the City Region including £900m of additional funding which will be made available from April 2016. This deal was an important milestone for the Sheffield City Region, a City Region poised to take centre-stage in the future of the Northern Powerhouse.

The Deal

- 4.3. The Deal agreed was a Deal for economic growth. The headlines of the Deal include:
- (a) devolved transport powers and funding – including the powers to franchise the bus network (subject to legislation);
 - (b) full devolution of the Adult Education (formerly Skills) Budget for college and training providers;
 - (c) control of a new, flexible single pot of funding for economic growth, which incorporates an additional £30 million annual allocation over the next 30 years;
 - (d) control over European Structural Investment Funds (ESIF) via Intermediate Body status in respect to local strategic fit;
 - (e) a greater share of the benefits of economic growth through a pilot of retention of business rate growth (worth approximately £19m additional SCR revenue in 16/17);
 - (f) the co-design and co-commissioning of new employment programmes;
 - (g) an improved approach and greater accountability to Sheffield City Region of national inward investment and trade support;
 - (h) better use of publicly owned assets and increased planning capacity and powers to double the SCR's housing delivery and increase commercial development;
 - (i) recognition of city region assets, including the Advanced Manufacturing Innovation District and the National College for High Speed Rail / National Institute for Infrastructure.
- 4.4. The Deal provides the SCR with a single pot of £484m of funding to invest in economic development over the next five years. Our single pot brings together three main funding strands: (1) 'Gainshare' investment, (2) Growth Deal award and (3) a consolidated transport budget.

Stronger governance

- 4.5. It is clear that the Deal agreed with Government, and the benefits listed above and in the "Deal" document itself, are contingent upon:

The Sheffield City Region Combined Authority [adopting the] model of a directly elected city region Mayor over the Combined Authority's area with the first elections in May 2017. The existing Sheffield City Region Combined Authority will also be strengthened with additional powers.⁸

⁸ <http://sheffieldcityregion.org.uk/wp-content/uploads/2015/10/SCR-Devolution-Agreement-2015.pdf> at p.5.

- 4.6. Accordingly, the concept of a directly elected City Region Mayor and the devolution of powers and funding are inexorably linked. There is no option for the SCR to “cherry pick” the funds and the powers, and not accept changes to local Governance.
- 4.7. Under the terms set out in the Deal:
- (a) the Mayor will chair the SCR Combined Authority – and will lead a SCR Cabinet;
 - (b) the members of the SCR Combined Authority will serve as the Mayor’s Cabinet and will perform a supporting and advisory function to the Mayor and Combined Authority;
 - (c) where powers reside with the Mayor the SCR Cabinet may ask the Mayor to reconsider Mayoral strategies and funding plans if two-thirds of the members agree to do so;
 - (d) on some planning arrangements, specifically the creation of the SCR Spatial Framework unanimous approval from CA members will be required;
 - (e) on proposals for decision by the CA the Mayor will have one vote – as will other voting members on the CA.⁹
 - (f) the Mayor will also be a member of the LEP.
- 4.8. Further points of detail, including power, functions, membership and voting arrangements are set out in the Scheme document which accompanies this review.

5. A stronger *Mayoral* Combined Authority will enable the SCR to deliver on the Devolution Deal and the vision set out in our Strategic Economic Plan.

- 5.1. As detailed above, the purpose of this Governance Review is not to consider the pros and cons of the Devolution deal previously negotiated and consulted upon extensively.¹⁰ The purpose of this review is to consider whether an Order made by the Secretary of State under sections 104-107 of LDEDCA (as amended by the Cities and Local Government Devolution Act 2016)¹¹ is likely to improve the exercise of statutory functions in the area or areas to which the order relates (and whether the other related statutory tests are met).
- 5.2. The conclusion of the Sheffield City Region and of this Governance Review is that it would, and the specific changes set out in the Scheme document at Part 2 are therefore recommended. The fundamentals of the Scheme are that:

⁹ Note, to accommodate the County Councils, a slightly different (but equivalent) arrangement is proposed in the Scheme.

¹⁰ <http://sheffieldcityregiondevolution.org.uk/>.

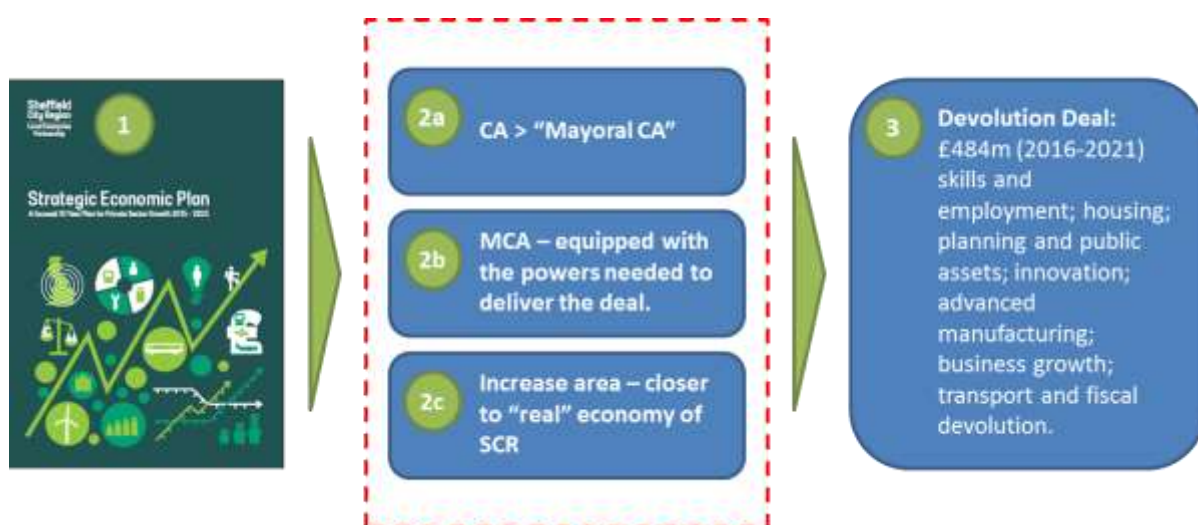
¹¹ Or any other related statutory provision.

- (a) The Combined Authority should be **given the powers it needs** to deliver the ambitions set out in the City Region's Strategic Economic plan and ambitious Devolution Deal of October 2015.
- (b) That, the area of the Combined Authority should increase to **more closely align to the functional economic area** and / or "real" economy of the Sheffield City Region. Specifically, this means utilising the amendments made by the Cities and Local Government Devolution Act 2016 and changing the status of Chesterfield Borough Council and Bassetlaw District Council from "non-constituent" to constituent members of the Combined Authority.

5.3. In summary and as summarised in *figure 3* below:

- (a) the SCR's Strategic Economic Plan sets out the SCR's economic ambitions;
- (b) the October 2015 "Deal" represents a significant step forward towards those ambitions and a new constitutional settlement with Government;
- (c) to deliver on that deal, three specific changes are being sought (the first of which will be catered for by an Order laid by the Secretary of State – the remainder are set out in the Scheme document).

Figure 3 – the Strategic Economic Plan, proposed changes and Deal



5.4. The Scheme document sets out the changes that would form part of an Order laid by the Secretary of State and/or be incorporated in a revised constitution of the Combined Authority. The remainder of this section sets out the rationale for the proposed changes.

A City Region Mayor

- 5.5. The October 2015 Deal made absolutely clear that the significant devolution of powers and funding is contingent upon the Sheffield City Region Combined Authority becoming a “Mayoral” Combined Authority (“MCA”).

As set out at Page 7 of the document:

*As part of this proposed agreement, the Sheffield City Region Combined Authority will adopt a model of a directly elected city region Mayor over the Combined Authority’s area with the first elections in May 2017. The existing Sheffield City Region Combined Authority will also be strengthened with additional powers. This takes the next step in transferring resources and powers from central Government to the Sheffield City Region. There is no intention to take existing powers from local authorities without agreement. The agreement will protect the integrity of local authorities in the Sheffield City Region.*¹²

- 5.6. Regardless of whether or not this is a step that the City Region would take otherwise, the City Region takes the view that Devolution deal (including £484m of funding between 2016 and 2021) is a sufficient incentive to change to this model of governance.
- 5.7. The Secretary of State for Communities and Local Government will lay an order before both houses of Parliament which, in keeping with the Deal previously agreed and consulted upon, provides that there will be a Sheffield City Region Mayor and that there will be an election in May 2017. The Scheme set out at Part 2 of this document deals with all other matters apart from these bare facts including: the functions of the Mayor, the relationship between the Mayor and members of the CA (i.e. the CA’s Cabinet), voting rights and other key constitutional matters

The Powers to deliver the Deal

- 5.8. Whilst ambitious, a great deal of what the SCR is seeking to achieve through the Deal can be achieved through existing powers and functions of the Combined Authority. However, as detailed in Part 2 of this document (the Scheme) some additional powers are required in order to deliver the Deal.
- 5.9. The powers, functions and resources that are included in this governance review and the Scheme that has been developed on the basis of this review are all proposed in order to support the delivery of the Strategic Economic Plan and deliver the elements of the 2nd October devolution deal as previously agreed by all constituent and non-constituent members. More detail as to how we expect each element of the additional powers and functions proposed in this governance review and scheme to support the delivery of the statutory functions is set out in the table below.

¹² https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/466616/Sheffield_devolution_deal_October_2015_with_signatures.pdf

Table 1 – Rationale for powers sought through the Scheme.

Theme Power(s)	Rationale
Spatial planning	<p>The SCR Strategic Spatial Framework will enable an informed, integrated approach to be taken to spatial planning across the city region, based on a clear understanding of the role of our places and the connections between them.</p> <p>The additional Mayoral planning powers will enable the Mayor and the Combined Authority to drive development and regeneration across the area.</p>
Housing	<p>Building on the SCR Devolution Agreement, the SCR has continued its positive engagement with senior Government Officials, receiving continued support from the Homes and Communities Agency (HCA) at a strategic and operational level. SCR is now in a strong position to progress work with the HCA on the co-design and development of SCR funding programmes and products.</p> <p>SCR is requesting a number of housing powers (concurrent with the HCA and Local Authorities, and taken from the Housing and Regeneration Act 2008) which relate to ‘improving the supply and quality of housing’ and ‘securing the regeneration or development of land or infrastructure’.</p> <p>These powers very much reflect the direction of travel and future role of the SCR MCA in housing delivery, with such powers becoming increasingly important as SCR moves towards the investment of funds under local control in the delivery of housing. In addition, they complement the Mayoral Development Corporation (MDC) powers, enabling a range of activity to be carried out across the SCR.</p>
Transport	<p>By providing the Mayoral CA with the ability to manage the provision of public transport services, there will be the opportunity for better services, aligned transport investment and the delivery of integrated smart ticketing</p>

Theme Power(s)	Rationale
	and working with other transport bodies. This work will be aided by the creation of a devolved and consolidated transport budget which will enable the SCR MCA to invest in local transport priorities.
Skills 19+	Further education provision generally services local labour markets. By devolving the Adult Education Budget and conferring the appropriate powers on the SCR MCA we expect that the provision on adult skills in the SCR will be better aligned with locally determined priorities to ensure that SCR residents have the skills required to help businesses to grow, innovate and diversify.
Finance: <ul style="list-style-type: none"> • Introduction of a Mayoral precept to support the discharge of mayoral functions and SCR levy to support non-transport functions which a CA may subsequently assume. • SCR CA borrowing powers. 	<p>SCR CA functions in relation to economic development and regeneration are currently funded through a recharge to the constituent councils. A precept or a levy would offer greater transparency to SCR residents in relation to the funding of Mayoral functions.</p> <p>The SCR CA can currently only borrow in relation to transport functions. This limits the ability of the SCR to raise investment funds that can be used to invest in projects that generate economic growth.</p>
Constitutional and governance changes.	Such arrangements will ensure the effective operation of SCR governance arrangements, including clear arrangements to ensure transparency and accountability.

The powers in detail

- 5.10. The purpose of the MCA (like the Combined Authority itself) is to facilitate devolution i.e. bring powers closer to the electorate. This is a fundamentally democratic aim, consistent with the SCR's general policy of subsidiarity i.e. that functions should be delivered at the lowest practicable level, be that national, "Northern", City Region, LA or even at a sub-LA level.
- 5.11. Accordingly, the Scheme set out at Part 2 does not propose that any powers are "ceded" to the MCA from current constituent and/or non-constituent members. Rather, the powers are either exercised concurrently (i.e. by both the MCA and

constituent authorities) or ceded from Government Ministers or departments to the MCA. However, in line with provisions made in the Cities and Local Growth Act 2016 there may be some transfer of County functions to the MCA to reflect the proposed change in the geographical area of the MCA.

- 5.12. The following sections detail how the CA needs to evolve (through the addition of new powers and/or duties) to deliver the Deal. Unless otherwise stated, the areas of these powers will be consistent with the area of the MCA i.e. that of the constituent members of the MCA. Should that membership change (either now or in the future) then the scope of these powers shall change accordingly.

Table 2 – summary of the Deal and any required powers and/or duties

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
Skills 19+	The Government will: <i>Enable local commissioning of outcomes to be achieved from the 19+ adult skills budget starting in academic year 2016/17; and will fully devolve budgets to the Sheffield City Region Combined Authority from academic year 2018/19 (subject to readiness conditions)(Page 8).</i>	<p><u>“Readiness conditions”</u></p> <p>The devolved powers and functions set out in the Devolution agreement are subject to 6 “readiness conditions” namely:</p> <ol style="list-style-type: none"> 1) Parliament has legislated to enable transfer to local authorities of the current statutory duties on the Secretary of State to secure appropriate facilities for further education for adults from this budget and for provision to be free in certain circumstances. 2) Completion of the Area Review process leading to a sustainable provider base. 3) After the area reviews are complete, arrangements are in place between central government and the Combined Authority to ensure that devolved funding decisions take account of the need to maintain a sustainable and financially viable 16+ provider base. 4) Clear principles and arrangements have been agreed between central government and the Combined Authority for sharing financial risk and managing failure of 16+ providers, reflecting the balance of devolved and national interest and protecting the taxpayer from unnecessary expenditure and liabilities. 5) Learner protection and minimum standards arrangements agreed. 6) Funding and provider management arrangements, including securing financial assurance, are agreed in a way that minimises costs, maximises consistency and transparency. <p>The Department for Business Innovation and Skills (BIS) take the view that powers and/or duties contained in the following legislation should be transferred from the Secretary of State to the MCA or exercised concurrently with the MCA:</p> <p>(a) Apprenticeship, Skills, Children and Learning Act 2009 (ASCL 2009) as amended</p>
Skills (16-18)	<i>HM Government commits to an Area Based Review of post-16 education and training leading to agreed recommendations by February 2016. The outcomes of the Area Based Review will be taken forward in line with the principles of the devolved arrangements (Page 9).</i>	<p>The Department for Business Innovation and Skills (BIS) take the view that powers and/or duties contained in the following legislation should be transferred from the Secretary of State to the MCA or exercised concurrently with the MCA:</p> <p>(a) Apprenticeship, Skills, Children and Learning Act 2009 (ASCL 2009) as amended</p>

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
		<p>by the Deregulation Act 2015.</p> <p>(b) Employment and Training Act 1973.</p> <p>Details of the specific provisions will be provided by the Secretary of State in due course (and will be subject to future Order).</p> <p><u>Local Authority powers to be exercised</u> concurrently by the MCA (i.e. these would be CA/non-mayoral powers).</p> <p><i>Education and Skills Act 2008</i></p> <p>(a) Sections 10 (duty to promote the effective participation in education or training) and Section 12 (duty to make arrangements to identify persons not in education or training).</p> <p>(b) Sections 68 (provision of services to encourage, enable or assist the effective participation of those persons in education or training), Section 70 (local education authorities: supplementary powers) and Section 71 (provision of support on conditional basis: learning and support agreements).</p> <p><i>Education Act 1996</i></p> <p>(a) Section 13A (duty to promote high standards in primary and secondary education).</p> <p>(b) Sections 15A and 15B (functions in respect of full-time education for 16 to 18 year olds / education for persons over 19).</p> <p><i>Further and Higher Education Act 1992</i></p> <p>(a) Section 51A (provision of education services for named individuals).</p>

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
Employment	<i>Sheffield City Region Combined Authority will work with DWP to co-design the future employment support, from April 2017, for harder-to-help claimants, many of whom are currently referred to the Work Programme and Work Choice (Page 10).</i>	No specific additional powers and/or duties required to implement this aspect of the Deal at this stage.
Housing and planning	<p><i>The Sheffield City Region Combined Authority Mayor will also exercise strategic planning powers to support and accelerate these [devolution] ambitions. This will include the power to:</i></p> <ul style="list-style-type: none"> <i>a) Create a spatial framework, which will act as the framework for managing planning across the Sheffield City Region, and with which all Local Development Plans will be in strategic alignment. The spatial framework will need to be approved by unanimous vote of the members appointed by constituent councils of the Mayoral Combined Authority. This approach must not delay any Local Development Plans, and will build upon the local plans being developed.</i> <i>b) Create supplementary planning</i> 	<p><u>Spatial Development Strategy</u></p> <ul style="list-style-type: none"> (a) Power to be granted to SCR Mayor equivalent to the duty of the London Mayor to prepare and publish a “spatial development strategy” under Section 334 of the Greater London Authority Act 1999 (to be known as the “spatial framework”) for the economic area. (b) Sections 334 – 350 GLA 1999 legislation to apply with necessary reference changes and the following specific modifications: <ul style="list-style-type: none"> i. Procedure for adoption of policy varied to exclude requirements for examination in public. Instead the Mayor to publish and adhere to a “statement of stakeholder engagement” equivalent in content to a statement of community involvement. ii. The duty for development plans to be in general conformity with the mayor’s plan to be limited to a duty for constituent member local planning authorities “to have regard to” the Mayors plan when preparing and adopting development plan documents under Section 19 of the Planning and Compulsory Purchase Act 2004 (and any other consequential or incidental amendments to legislation e.g. Section 347 GLAA 1999). iii. Mayor to have regard to local plans under Section 342 in preparing the Mayor’s Spatial Framework.

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
	<p><i>documents, subject to approval processes in paragraph 21a [of the Deal].</i></p> <p>c) Create Mayoral Development Corporations, which will support delivery on strategic sites in the Sheffield City Region. This power will be exercised with the consent of the Cabinet member in which the Development Corporation is to be used.</p> <p>d) Be consulted on and/or call-in planning applications of strategic importance to the City Region.</p> <p><i>HMG will work with Sheffield City Region to support the operation of the Joint Assets Board, and support better coordination on asset sales. (P11/12)</i></p> <p><i>Sheffield City Region intends to develop further a proposition on a Housing Investment Fund, for development with HM Government.</i></p>	<p>(c) Mayor to be a statutory consultee (prescribed body) in preparation of local plans under regulation 4 of the Town and Country Planning (Local Planning)(England) Regulations 2012.</p> <p><u>Supplementary Planning Guidance</u></p> <p>(a) The adoption of Sections 334 – 350 would include an adaptation of section 348 to allow the Mayor to provide formal supplementary guidance on policies within his plan.</p> <p>(b) LPA to have regard to Mayors plan and any supplementary guidance issued under it in preparation of local plans under Section 19 PCPA 2004.</p> <p><u>Mayoral Development Corporations</u></p> <p>(a) Mayor to have powers equivalent to London Mayor under Part 8 Chapter 2 of Localism Act 2011 with the following modifications:</p> <p>i. Any powers exercisable by the Mayor to be exercised only with the consent of the Combined Authority member for the area(s) of the Mayoral Development Corporation(s).</p> <p><u>Consultation on Planning Applications</u></p> <p>(a) LPAs to be required to consult the Mayor on applications of potential strategic importance (PSI). Requirement to be achieved by adding the Mayor as a statutory consultee to PSI applications under Schedule 4 of the Town and Country Planning (Development Management Procedure) Order 2015. PSI applications to be defined in the Order – similar to but more limited than the definition of PSI in the Town and Country Planning (London Mayor) Order 2008 e.g. large scale housing of at least 300 houses; large commercial schemes in excess of 15,000 sq metres; large scale infrastructure and waste management facilities; departures from the</p>

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
		<p>agreed development plans of LPAs, and other schemes which would affect the delivery of the Mayor's Spatial Framework. The Mayor would have the power to amend the definition of PSI thereafter</p> <p>(b) The Mayor should be a statutory consultee and interested party under the Planning Act 2008 for any Nationally Significant Infrastructure Projects that may have an effect on the Sheffield City Region.</p> <p><u>Housing</u></p> <p>(a) The MCA to exercise the objectives and functions of the Homes and Communities Agency ("HCA") under Section 2(1) and Section 3-12, 17 and 18-19 of the Housing and Regeneration Act 2008 ("H&R Act 2008"). These functions to be exercised concurrently with the HCA with respect to the area of the MCA.</p> <p>(b) These functions would be non-Mayoral functions with the exception of the specific HCA compulsory purchase powers (which would be a mayoral function).</p> <p>The functions are:</p> <ul style="list-style-type: none"> i. to improve the supply and quality of housing; ii. to secure the regeneration or development of land or infrastructure; iii. to support in other ways the creation, regeneration and development of communities or their continued well-being; and iv. to contribute to the achievement of sustainable development and good design. <p>(c) in order to achieve the objectives above, the MCA should have the benefit of exemption from Section 23 of the Land Compensation Act 1961 enjoyed by the HCA under section 23(3)(d) of that Act.</p>

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
Transport	<p><i>The directly elected Mayor of the Sheffield City Region Combined Authority will be responsible for a devolved and consolidated local transport budget for the area of the Combined Authority (i.e. the areas of the constituent councils), including all relevant devolved highways funding, with a multi-year settlement to be agreed at the Spending Review. Functions will be devolved to the Sheffield City Region Combined Authority accordingly, to be exercised by the Mayor.</i></p> <p><i>The directly elected Mayor of the Sheffield City Region Combined Authority will by 2017 be able to utilise functions, granted to the Mayoral Combined Authority, for the franchising of bus services in the area of the Combined Authority,. This will be enabled through a specific Bus Services Act, to be introduced as a Bill during the first Parliamentary session of 2016, which will provide the necessary functions for a Mayoral Combined Authority.</i></p> <p><i>This will help to facilitate, amongst other matters, the delivery of integrated smart ticketing across all local modes of transport in the city region, working as part of Transport for the North on their plans for smart ticketing</i></p>	<p><u>Mayoral Powers</u></p> <p><i>Bus Services Bill 2016</i></p> <p>(a) Mayoral Bus Franchising - the power for a Mayor to franchise bus services in a CA Area.</p> <p><u>MCA Powers</u></p> <p>(a) Bus Services Bill 2016 - Enhanced Voluntary Partnerships (Power for a CA to promote an enhanced version of the voluntary Partnership model).</p> <p>(b) Local Transport Authority (LTA) - The MCA becoming the LTA for the extended Sheffield City Region Combined Authority will mean the MCA exercising the specific functions of an LTA in that extended area.</p>

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
	<p><i>across the North. This includes the production of a regional implementation plan for smart ticketing which Transport for the North will put forward to government by Budget 2016.</i></p> <p><i>Government, in consultation with Sheffield City Region, will continue to explore options to give Sheffield City Region Combined Authority more control over the planning and delivery of local transport schemes, particularly in preparation for HS2. This could include changes to the way that Transport and Works Act Orders are 13 granted, if practical proposals for improving and speeding up the process are identified.</i></p> <p><i>The directly elected Mayor of the Sheffield City Region Combined Authority will take responsibility for an identified Key Route Network of local authority roads that will be collaboratively managed and maintained at a City Region level by the Sheffield City Region Combined Authority across the areas of the constituent councils (P12-13).</i></p>	
Trade and Investment	<p><i>HM Government commits to strengthening support available for both trade and investment in the Sheffield City Region (P13).</i></p>	No specific additional powers and/or duties required to implement this aspect of the Deal.

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
Innovation	<p><i>Through utilisation of the additional resources in the single pot it is expected that Sheffield City Region Combined Authority will bring forward a set of ambitious proposals to enhance the Advanced Manufacturing Innovation District. The Sheffield City Region will work with HM Government to achieve their ambitions for a National Institute for Infrastructure within Doncaster... (P14).</i></p>	<p>No specific additional powers and/or duties required to implement this aspect of the Deal.</p>
Business Growth and Support	<p><i>Government and the Sheffield City Region Combined Authority will agree a joint programme to create the right environment to drive the commercial rollout of ultrafast broadband. Government will also support the SCR Combined Authority to reinvest funds into creative solutions to supplying superfast broadband to the last 5%.</i></p> <p><i>Building on the currently agreed Enterprise Zone geography, Sheffield City Region will receive additional Enterprise Zones and/or extension of existing zones, subject to the current bidding round for further Enterprise Zones.</i></p> <p><i>The Sheffield City Region LEP has requested additional flexibility on the use of Enhanced Capital Allowances within its Enterprise Zones.</i></p>	<p>No specific additional powers and/or duties required to implement this aspect of the Deal at this stage.</p>

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
	<i>The government is open to further discussion on this providing proposals are compliant with State Aid rules and are fiscally neutral (P15).</i>	
Fiscal	<p><i>HM Government is committed to working with the Sheffield City Region Combined Authority to achieve Intermediate Body status for ERDF and ESF for the Combined Authority. HM Government will work with Sheffield City Region Combined Authority to test whether it will be possible to implement and if so, HMG and SCR will work together to agree a timetable to put this in place.</i></p> <p><i>HM Government agrees to allocate an additional £30m per annum of capital and revenue funding for 30 years, which will form part of and capitalise the Sheffield City Region Combined Authority single pot. This will fund key City Region priorities and will be composed of 60% capital and 40% revenue. The fund will be subject to 5-yearly gateway assessments to confirm the spend has contributed to national growth.</i></p> <p><i>The Cities and Local Government Devolution Bill¹³ currently in parliament will establish the</i></p>	<p><u>Intermediate body status</u></p> <p>Intermediate Body status does not require additional power in the context of the CA (or MCA). However, the Government will need to grant those powers through specific EU regulations.</p> <p><u>Borrowing powers</u></p> <p>By virtue of section 23(5) LGA 2003, a combined authority may borrow in relation to “any other functions of the authority that are specified for the purpose of [section 23(5)] in regulations made by the Secretary of State”. Such functions include mayoral and non-mayoral functions. It is proposed that the regulations should provide for the MCA to have borrowing powers in respect of all of its functions.</p>

¹³ The Cities and Local Government Devolution Bill was introduced in the House of Commons on 28 May 2015, completed its parliamentary stages on 12 January 2016 and received Royal Assent, thereby becoming law on 28 January 2016.

Theme	The Deal (substantive elements)	Specific powers / duties required to deliver the Deal.
	<p><i>principles which will govern further prudential borrowing for combined authorities. Following Royal Assent, central government will consider how these powers could apply whilst ensuring no fiscal impact.</i></p> <p><i>HM Government will pilot a scheme in Sheffield City Region Combined Authority which will enable the area to retain 100% of any additional business rate growth beyond expected forecasts. These pilots will begin in April 2016, subject to further detailed discussions between the Combined Authority and HM Government. HM Government will also discuss wider localisation of business rates with the Sheffield City Region Combined Authority.</i></p>	

6. Moving towards an administrative geography that reflects the Sheffield City Region's economic reality

- 6.1. In 2010 the Sheffield City Region Local Enterprise Partnership was created – this was the first formal arrangement to reflect the nature of our interconnected city region economy. The LEP from the start included districts from North Derbyshire and Nottinghamshire. Since the creation of the LEP, we have worked across the nine councils on issues relating to business growth schemes, skills programmes and investment in infrastructure.
- 6.2. We have, to date also ensured that working relationships with LEPs to the north and the south of the SCR are strong. We have worked on joint inward investment and promotion activity with the Leeds City Region and made joint investments in infrastructure schemes through the SCR Investment Fund (SCRIF) with the Derbyshire and Nottinghamshire Local Enterprise Partnership (D2N2).
- 6.3. However, as set out in other sections of this governance review maintaining the status quo will not enable the most effective implementation of the new powers proposed in the Scheme, particularly those over skills investment, transport and spatial planning. This is based on an independent economic analysis that makes clear that there are strong economic linkages between the district councils in the south of the city region and that of those in South Yorkshire.
- 6.4. To help us understand how our city region works in practice and as part of the development of our Governance Review, the SCR commissioned an independent analysis of the economic and spatial arguments to expand the constituent membership of the SCR¹⁴. This work was undertaken by SQW¹⁵ who worked in partnership with Trends Business Research Limited and Cambridge Economics Limited to provide an independent perspective of the economic linkages within our functional economic areas. Evidence from this analysis is summarised below in relation to the City Regions key arguments for the expansion of the constituent membership of the CA.

Functional economic area

- 6.5. As highlighted in our Independent Economic Review, the **Sheffield City Region is a polycentric city region**¹⁶. The area is comprised of a number of interconnected economic centres that collectively form the City Region, bringing together both urban and rural areas.

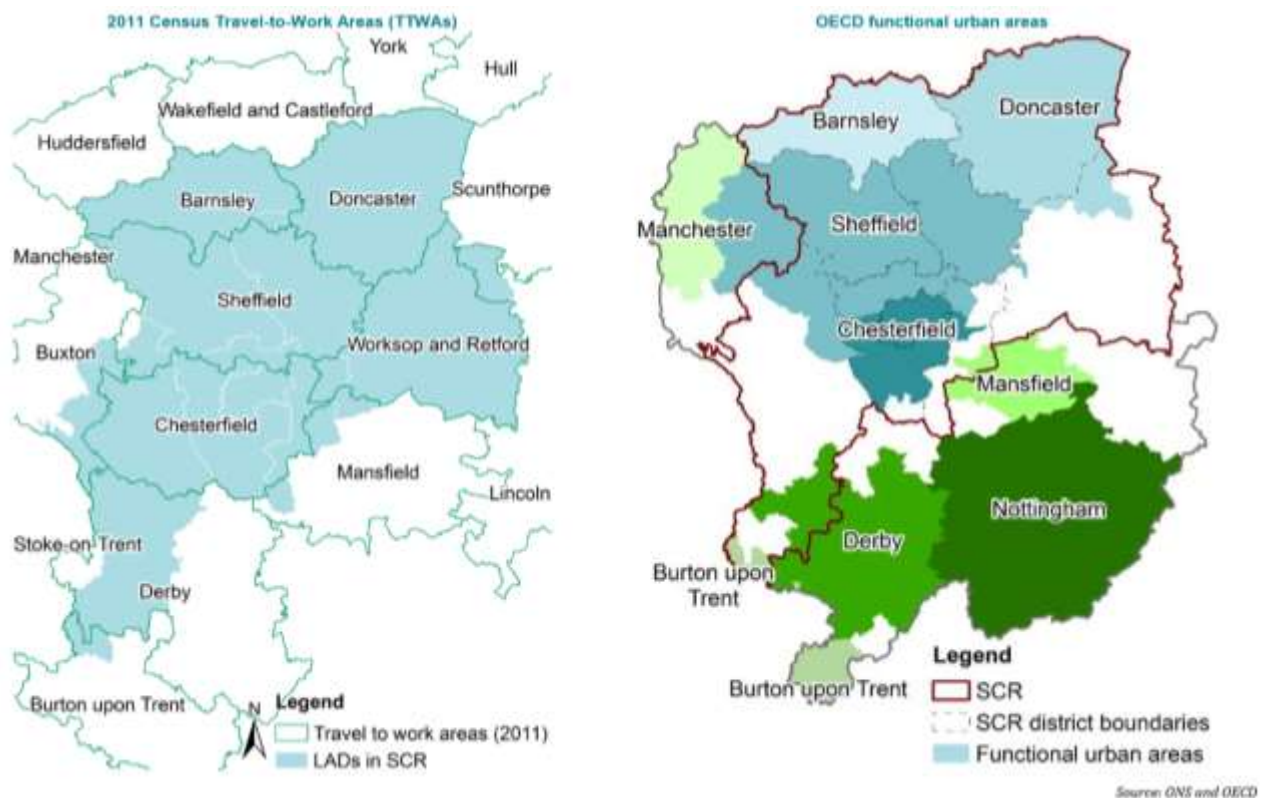
¹⁴ SQW (2016) SCR Combined Authority Constituent Membership Expansion, The Economic and Spatial Argument

¹⁵ <http://www.sqw.co.uk/>

¹⁶ Ekosgen (2013) Sheffield City Region Independent Economic Review

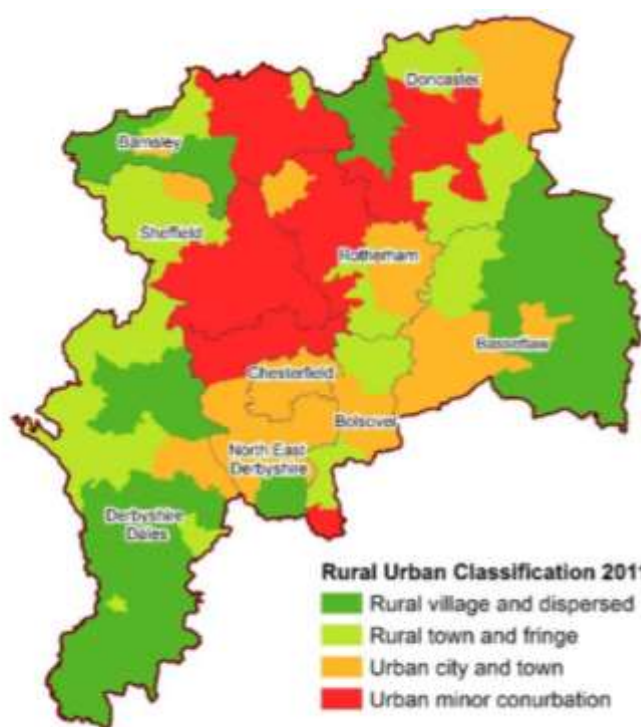
- 6.6. As work by the Organisation for Economic Co-operation and Development (OECD) has shown there are four functional urban areas (FUAs) within the City Region, see the figure below. All four of these areas – Barnsley, Chesterfield, Doncaster and Sheffield – are **contiguous, with a distinct gap between these SCR FUAs and the D2N2 area**. Similarly, the Office for National Statistics (ONS) definition shows the **four Census travel-to-work areas (TTWAs), map very closely onto the SCR footprint**.

Figure 4: Travel to work map



Source 1: SQW (2016) SCR Combined Authority Constituent Membership Expansion, The Economic and Spatial Argument

Figure 5: SCR rural urban classification 2011 by MSOA



Source: Defra RUC 2011. Map produced by SQW 2016. Licence 100030994. Contains OS data © Crown copyright [2015]

Source 2: SQW (2016) SCR Combined Authority Constituent Membership Expansion, *The Economic and Spatial Argument*

6.7. **The SCR is a functional economic geography.** Collectively, the nine local authority areas that comprise the SCR have a total population of 1.8m, an economy worth £31bn p.a., employing more than 800,000 people. **The current position where only the four South Yorkshire council areas of Barnsley, Rotherham, Doncaster and Sheffield are part of the Combined Authority does not reflect that economic geography.** The proposed addition of Chesterfield and Bassetlaw as constituent members of the CA will much more closely reflect this area than is currently the case. For example, the combined weight of the six districts accounts for 87 per cent of SCR's total economic output (measured by GVA), 86 per cent of its population and 85 per cent of its business base. Ultimately the proposed expansion will increase the scale of the Combined Authority by 18 per cent in terms of GVA, 18 per cent in terms of jobs and 20 per cent by way of business numbers. **This will bring the constituent membership of the CA much more aligned to the functional economic geography,** creating an area of increased economic significance.

Figure 6: key statistics on the economic scale of the SCR if constituent membership was expanded

	Sheffield City Region	Proportion accounted for by the six LADs	Date & source
Gross Value Added (GVA)	£31,225m	87%	2015, Cambridge Econometrics
Employment (i.e. workplace jobs)	813,000	87%	2015, Cambridge Econometrics
Population	1,832,100	86%	2014, ONS
Working age population (WAP)	1,159,300	87%	2014, ONS
WAP in employment	812,233	86%	2013-15, APS
%all in employment who are managers, directors & senior officials	66,367	80%	2013-15, APS
Enterprises	41,765	80%	2015, ONS
Business starts	7,080	85%	2014, ONS

Source: As above

Source 3: SQW (2016) SCR Combined Authority Constituent Membership Expansion, The Economic and Spatial Argument

- 6.8. On this basis the proposed expanded constituent membership **better reflects the ‘real’ level at which the economy operates on a day-to-day basis**. For example, where people live, work and spend their disposable income. This is evidenced by a number of key factors including:

- (a) **Travel to work:** 16% of Bassetlaw’s working residents commute to employment in South Yorkshire, with Doncaster, Sheffield and Rotherham having the three highest levels of out-commuting from the authority. Similarly, 9% of Chesterfield’s working residents commute to employment in South Yorkshire with over 3,100 people commuting into Sheffield on a daily basis, which is the second highest destination for out-commuters after North East Derbyshire.
- (b) **Retail catchments:** Within Chesterfield’s wider retail catchment (comprising a total population of 1.1 million people), Meadowhall was the most visited centre securing 16 per cent of shopping trips in 2015, followed by Sheffield central (15 per cent) and Chesterfield with nine per cent market share. According to Sheffield’s 2014 Retail Capacity Study, 40 per cent of all spend on comparison goods by Bassetlaw’s residents takes place in Sheffield city centre and Meadowhall.

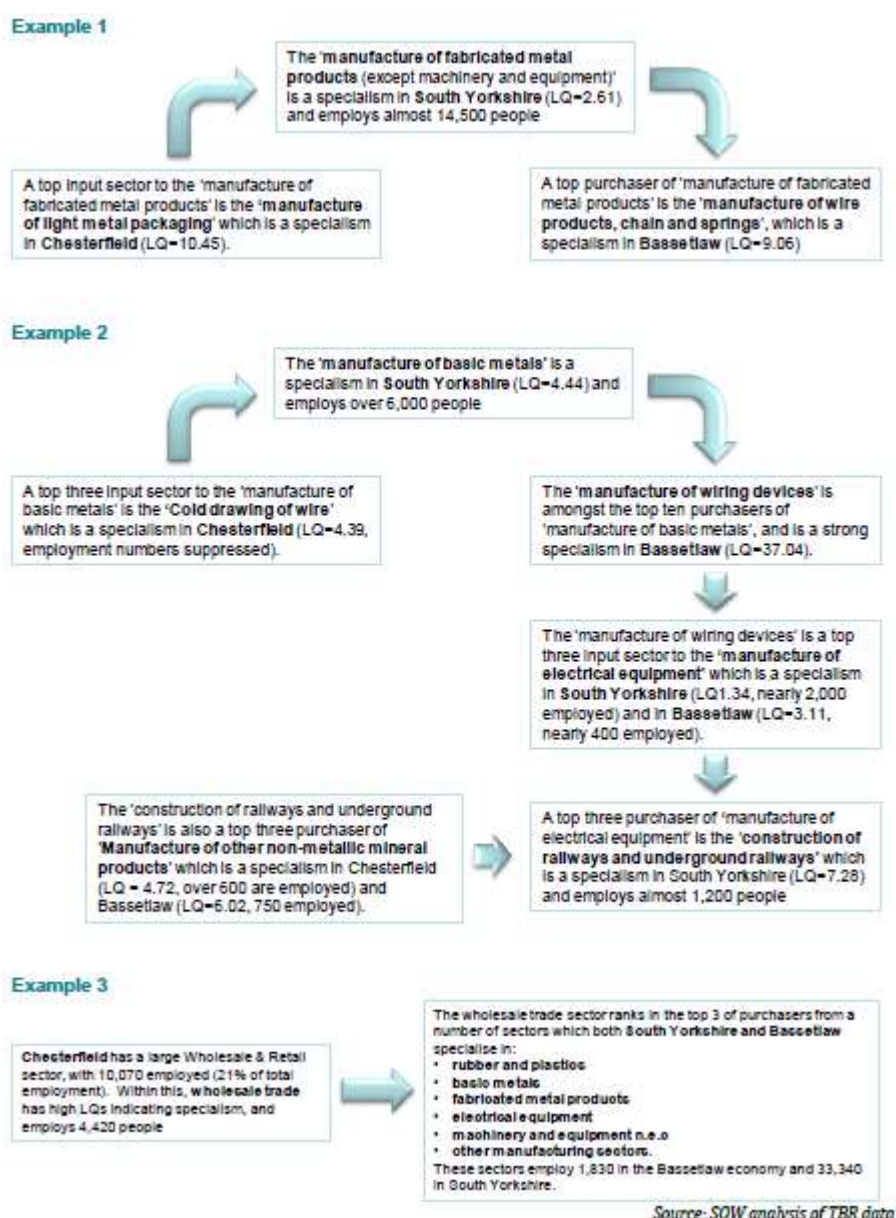
Common characteristics and supply chain linkages

- 6.9. The industrial legacy of mining and steel manufacturing provides a shared history across the City Region. The economic restructure that has taken place since the

1980s provides the **area with a number of common characteristics**. This includes both shared characteristics and opportunities for growth and specialisation, in addition to shared challenges.

- 6.10. Economic opportunities afforded to the area include **an interconnected business base**, with particular sectoral specialisms in manufacturing and engineering, including the manufacturing of Basic Metals and Metal Products, Non-Metallic Mineral Products, Electrical Equipment, and Machinery. For example:
- (a) One of the largest specialist sectors in South Yorkshire is Healthcare Technologies (Location Quotient, LQ=10.28) which employs over 40,000 people. The Healthcare Technologies sector is also an area of specialism in Bassetlaw and Chesterfield, employing around 3,600 and over 4,000 people respectively.
 - (b) The Manufacturing of Fabricated Metal Products (excluding Machinery) is a specialism in South Yorkshire, Chesterfield and Bassetlaw, and together these areas account for 88 per cent of all SCR's employment in the sector (over 16,000 people). The Manufacturing of Machinery is also a specialism in these areas, and together they represent 90 per cent of all SCR's employment in the sector (over 4,600 people).
 - (c) The six districts have many national and/or international class assets, including the Advanced Manufacturing Research Centre (AMRC), which is part of the UK's Catapult Network, the Medical and Nuclear AMRCs, Factory 2050, the National Metals Technology Centre, the Materials and Engineering Research Centre at Sheffield Hallam University, and the Advanced Computing Research Centre at the University of Sheffield. Furthermore, the National College for High Speed Rail is currently under construction with the City Region.
 - (d) There is clear alignment between SCR's university specialisms – for example in Advanced Computing, Mechanical Engineering, Control Systems Engineering and Management at the University of Sheffield – and the sector specialisms across the wider business base, so providing a supply of highly skilled and relevant labour to SCR's businesses.
- 6.11. In addition to the above, there are strong supply chain linkages between the common specialisms and six districts.

Figure 7: supply chain linkages



Shared challenges and opportunities

6.12. In addition to these opportunities, there are also shares a number of **shared challenges** including:

- Low productivity: all districts – and the SCR as a whole – are below the national average in terms of both GVA per head and GVA per job (between £36,500 and £40,500 compared to the UK average of £36,000).
- Unemployment and without qualifications: The six districts account for the majority of SCR's working age population who are unemployed (94 per cent) and without qualifications (89 per cent).

- (c) Health deprivation: Long-term limiting illness is a prevalent issue across the geography, with 10.7 per cent of SCR's residents stating their 'day to day activities are limited a lot by health issues' in the 2011 Census. The proportion in Bassetlaw and Chesterfield exceeds the SCR average (at 10.8 per cent and 11.5 per cent, respectively).

- 6.13. The scale of these economic challenges mean that the area has to be ambitious. Baseline forecasts show that by the 2030 the SCR will grow its economy by 38,000 jobs¹⁷. However, due to the economic challenges facing the area there is a need to grow at a faster rate of creating 70,000 jobs as articulated through our Strategic Economic Plan. A key defining characteristic of the Devolution Deal agreed between the City Region and government was providing the SCR with the freedoms, flexibilities and funding it needed to realise the economic ambitions of the Strategic Economic Plan.
- 6.14. **Based on the above, the evidence makes clear economic and practical sense for the 6 constituent areas to work together for economic development purposes.**

7. More effective and convenient local government

- 7.1. In addition to the economic rationale, and the fact that extending the CA area to include the areas of Chesterfield and Bassetlaw will give those areas access to the benefits of the SCR Deal in full, **the addition of these areas for economic development purposes will significantly reduce the complexity and the local government structures for the two areas concerned.**

Reducing complexity

- 7.2. Specifically, at present both Bassetlaw District Council and Chesterfield Borough Council are non-constituent members of the SCR, a lower-tier authority within their respective counties and a member of the D2N2 LEP. For funding purposes, this involves the division of a number of funding streams between the two LEP areas.
- 7.3. This requires the full engagement of these two areas with both sets of LEP-arrangements. Whilst all parties make every effort to minimise the detrimental impact of this duplication, it inevitably leads to a degree of complexity. Such complexity also creates confusion in terms of accountability (to both Government and to the electorate) which may act as a barrier to future devolution and democratic engagement.
- 7.4. The SCR agrees with Government that, whilst this overlap is sustainable in the absence of a directly elected City Region Mayor, the creation of an MCA with new powers and responsibilities requires clearer accountability structures (otherwise the democratic benefit of such a role is undermined). This does not suggest a change to

¹⁷ Source: SQW analysis of CE projection.

the geographic boundaries of the two Local Enterprise Partnerships but a logical corollary may be that future national LEP funding allocations, such as Local Growth Fund may reflect revised constituent membership status of the SCR CA.

- 7.5. The Scheme at Part 2 of this document provides a proposal for a form of shared mayoral governance that:
- (a) brings together the met districts, the two county councils and the lower tier authorities;
 - (b) will clarify the role of the constituent and non-constituent members of the CA;
 - (c) will engage all tiers of local government in relevant decisions;
 - (d) will provide a platform for engagement with neighboring LEPs (including D2N2 LEP).
 - (e) will provide a platform for the devolution of powers and funding to the constituent members;
 - (f) will support the development of shared priorities such as the development ambitions at Markham Vale and key initiatives such as Peak Resort – where the input of all partners is required to make such initiatives a success;
 - (g) recognises that, for some functions, a set of transitional arrangements will be required.

More effective local government

- 7.6. Extending the CA-area to cover the areas of Chesterfield and Bassetlaw will therefore:
- (a) give these areas access to substantial powers and funding and
 - (b) reduce the complexity of local arrangements (as above)
 - (c) as noted above – do so in a way which best reflects the “real economy” of the City Region.
- 7.7. The electorate in these areas will elect a City Region mayor, who will be responsible for those devolved powers and functions contained within the Deal and in future devolution settlements.
- 7.8. When considering these arrangements, specific regard is had to the area of Chesterfield, which is for historical reasons is separated from the Sheffield City Region by a small part of North East Derbyshire in and around the area of Donfield. Prior to the reform of LDEDCA (the Local Democracy, Economic Development and Construction Act 2009), the area of Chesterfield would have been unable to become a constituent member of the SCR on the basis that it does not (technically) share a border with any part of South Yorkshire.

- 7.9. The Secretary of State quite rightly took steps to reform LDEDCA and to allow CAs to be formed on a (technically) non-contiguous footprint where there is a clear case to do so. Again, the economic evidence alongside the physical “lie of the land” in this part of the City Region create an overwhelming case to accede to the wishes of Chesterfield Borough Council and utilise this amendment (for further detail on this point see Section 6 of this review regarding the considerable economic linkages between the areas of Chesterfield and Bassetlaw and the current constituent areas of the CA).
- 7.10. The proposals set out in the Scheme document will lead to an unprecedented level of cross border working in the areas of Bassetlaw and Chesterfield (and indeed with respect to the three proposed non-constituent members). For these areas, and for the first time, we are proposing to bring all of the key interested parties (i.e. the MCA, the Counties, the District Councils, the neighbouring Metropolitan Districts and the LEPs) together in one integrated forum (i.e. the MCA) in order to drive economic growth and development in these important areas. On this basis this review is clear that the arrangements proposed will benefit both:
- (a) the 6 proposed constituent members of the MCA (including the two County Councils with respect to the defined part of their area);
 - (b) the 3 non-constituent members;
 - (c) neighbouring areas, as these arrangements will reinforce connections between those areas and the Sheffield City Region (which includes the two Counties with respect to the remainder of their area).
- 7.11. As an example of the benefits to neighbouring areas, by virtue of the inclusion of a part of their area, the two county councils will become constituent members of the MCA. As such, these neighbouring areas will be directly involved in decisions relating to cross-border functions and key priorities (such as Markham Vale) which require the contribution of all tiers of local government and the private sector.

Non-constituent members and the relationship with the SCR Combined Authority

- 7.12. The district councils of North East Derbyshire, Bolsover and Derbyshire Dales have ratified the devolution deal as signed on the 2nd October 2016 and set out their intention to remain non-constituent members of the SCR CA. These three authorities form an important part of the city region’s functional economic area whilst also having economic linkages with the other centres to the south of the city region.
- 7.13. It is expected that **non-constituent members will remain key members of the City Region but will not be part of the Mayoral electoral franchise i.e. vote for the Mayor in 2017**. The role and status of these members will only be enhanced by the

future participation of the two County Councils in the MCA.¹⁸ The non-constituent members of the CA will continue to enjoy the benefits of functions of the LEP e.g.

(a) access to investment through the LEP's Business Investment Programme and the Northern Powerhouse Investment Fund;

(b) access to the SCR Skills Bank;

(c) access to the Services of the Growth Hub and SCR Inward Investment Team.

7.14. On strategic spatial planning, it is proposed that the non-constituent members will be part of the development and the unanimous approval of the strategic spatial framework because of their role in the functional economic geography of the SCR. As such, non-constituent councils could take voluntary steps to align their local plans to an over-arching SCR strategic spatial framework. To be clear, non-constituent members will never be required to abide by an SCR spatial framework unless they have agreed to do so.

7.15. When utilising any general and/or functional power of competence (as determined by the Secretary of State), any elected SCR mayor will respect the mandate on which he or she is elected and only act outside the constituent area (if at all) with the consent of the area concerned.

7.16. In summary, the proposals in the Scheme are of no dis-benefit to the non-constituent members. The only disadvantage is that, as non-constituent members, these areas will not be able to access the full extent of the Deal agreed with Government. Accordingly, in the absence of a D2N2 "Deal" at the time of the production of this governance review and scheme, national programmes will continue to operate in these areas, and there may be less devolution and more centrally delivered and controlled services.

Transitional arrangements

7.17. It is recognised as part of this review, that the proposed arrangements create some short-term complexity, especially during the transition phase. The SCR proposes that, in areas such as public transport in particular, a measured, transitional approach is taken over the coming months. The SCR is already working with the neighbouring County Councils to consider the issues associated with this transition and to co-design a suitable solution. This may mean a period of concurrent exercise of Local Transport Authority functions with protocols to regulate the exercise of those functions.

7.18. In particular, it is recognised that the delivery of public transport functions in the areas of Chesterfield and Bassetlaw may take a number of years to become consistent with that of South Yorkshire. Transition issues include:

¹⁸ Subject to the discretion of the Secretary of State.

- (a) The transition of tendered bus services – many of which (naturally) are underpinned by contracts of varying duration. Further, an arrangement would have to be reached with the Counties for the disaggregation of the Bus Service Operator Grant for tendered services.
 - (b) Concessionary fares - which are different in South Yorkshire, when compared to Chesterfield and Bassetlaw.
 - (c) Infrastructure - future management of LTA assets (e.g. bus stations) would need to be determined.
- 7.19. A taskforce has been established to work through this any other issues and will recommend the optimal solution to ensure a transition that does not impact public transport users.

8. A neutral or no impact on the identities and interests of local communities

Economic focus

- 8.1. As detailed above, the SCR has been working together for a number of years. During this time, there has been no impact on the identities of individuals and communities who freely associate themselves with the ceremonial counties of Yorkshire, Derbyshire and Nottinghamshire (or none of the above). LEPs and City Regions were formed to support economic growth across functional economic areas and not to influence such matters of identity.
- 8.2. This point was considered at length at a recent Chesterfield Borough Council meeting on 3rd March 2016, where the Leader remarked:

"It is important to be clear on what this debate is and isn't about.

It is not a debate about whether Chesterfield remains in the geographical boundaries of Derbyshire. We are proud to be in Derbyshire and will stay in Derbyshire irrespective of the outcome of these discussions.

It is also not a debate about losing any of our council's current powers and responsibilities or about the role of Chesterfield's civic mayor.

What this debate is about is what is best for our economy, for the jobs and training prospects of our residents, for the future sustainability and growth of our businesses, as well as access to millions of pounds worth of investment (emphasis added).

At the moment many of the powers that we need are held by the Government. We are therefore being asked how best these powers and the accompanying money can

*be devolved down to a more local level that is in the own self-interest of the people of Chesterfield.”*¹⁹

- 8.3. The position of the Leaders of Chesterfield Borough Council was greeted by cross-party support. This sentiment is equally applicable to Bassetlaw District Council. Accordingly, the proposed arrangements in the Scheme document are **entirely neutral with respect to the impact on the identities of local communities**.
- 8.4. In respect of the issue of interests of local communities the key points made in this governance review, as backed up through the economic case is the contention that because of commuter flows and the interactions of our business base the interests of residents and businesses in both Bassetlaw and Chesterfield as pertaining to the economic sphere are better served by the Mayoral Combined Authority exercising its functions and powers over these two places.

Changing the name of the SCR CA

- 8.5. One matter of identity that is important is the statutory name of the MCA. Given the membership of the CA at the time, the Government took the view in April 2014 that the Sheffield City Region Combined Authority must be referred to as the *Barnsley, Doncaster, Rotherham and Sheffield Combined Authority*. Given the addition of two constituent members, it is now appropriate for the statutory name of the combined authority to align with the name used locally for some time. Accordingly, the Scheme at Part 2 of this document suggests the affirmation (through Order) that the MCA is to be referred to as the *Sheffield City Region Combined Authority*.

¹⁹ <http://www.chesterfield.gov.uk/business/regeneration/devolution-and-combined-authorities/sheffield-city-region-devolution-area.aspx>

Part 2

The Scheme

(June 2016)

Scheme to expand the area of and give new powers to a Mayoral Combined Authority

1. Intention to expand the area of the Mayoral Combined Authority

- 1.1. Pursuant to Section 107A of the Local Democracy, Economic Development and Construction Act 2009 “LDEDCA”,²⁰ a Mayoral Combined Authority (“MCA”) is to be established through an order of the Secretary of State for Communities and Local Government (draft order laid 27/06/2016).²¹
- 1.2. The boundaries of the existing Sheffield City Region (“SCR”) CA will be changed in accordance with s.113 of LDEDCA with the addition of the local government areas of Bassetlaw District Council and Chesterfield Borough Council.
- 1.3. The MCA will be built upon the existing combined authority (“CA”) in the SCR, formed through the Barnsley, Doncaster, Rotherham and Sheffield Combined Authority Order 2014.²² To reflect the new status of the areas of Bassetlaw and Chesterfield, the statutory name of the MCA will be the “Sheffield City Region Combined Authority”).

2. Membership of Authority

- 2.1. Membership of the MCA will be drawn from the constituent and non-constituent councils listed below:-

Barnsley Metropolitan Borough Council

Bassetlaw District Council

Chesterfield Borough Council

Doncaster Metropolitan Borough Council

Rotherham Metropolitan Borough Council

Sheffield City Council

Nottinghamshire County Council in relation to the area of Bassetlaw and

Derbyshire County Council in relation to the area of Chesterfield²³.

(“constituent councils”)

Bolsover District Council

²⁰ As amended by the Cities and Local Devolution Act 2016.

²¹ <http://www.legislation.gov.uk/ukdsi/2016/9780111147689>.

²² http://www.legislation.gov.uk/ukdsi/2014/9780111109526/pdfs/ukdsi_9780111109526_en.pdf

²³ Subject to the discretion of the Secretary of State.

North East Derbyshire District Council

Derbyshire Dales District Council

(‘non-constituent councils’).

- 2.2. As listed in Section 2.1 by virtue of the inclusion of the areas of Bassetlaw and Chesterfield as constituent members, the County Councils of Derbyshire and Nottinghamshire shall also be constituent members/authorities but only in relation to these districts.²⁴ Residents of Nottinghamshire and Derbyshire outside of the areas of Bassetlaw and Chesterfield will not form part of the electoral franchise for the Mayor.
- 2.3. The MCA membership will include a directly elected City Region Mayor as provided for in the Cities and Local Government Act 2016. The MCA mayor will be elected by the electorate of the constituent councils. Should the composition of the constituent councils change in the future, the geographical area of any election would change accordingly.

3. Voting rights

- 3.1. The MCA mayor will chair the MCA, being one of its members and have two votes on all matters to be determined by the MCA in respect of functions of the Authority that are not designated as Mayoral functions.
- 3.2. The following constituent member will have two votes on all matters other than those designated as Mayoral functions:
- Barnsley Metropolitan Borough Council
- Doncaster Metropolitan Borough Council
- Rotherham Metropolitan Borough Council
- Sheffield City Council.
- 3.3. The following constituent members will have one vote on all matters other than those designated as Mayoral functions:
- Bassetlaw District Council
- Chesterfield Borough Council.
- 3.4. The two county councils of Derbyshire and Nottinghamshire will have one vote on all matters other than those designated as Mayoral functions.
- 3.5. Decision making in respect of those functions designated as Mayoral functions will be taken by the Mayor or through delegated arrangements established by the Mayor.

²⁴ Subject to the discretion of the Secretary of State.

- 3.6. For the voting rights of non-constituent authorities see below.
- 3.7. Further matters may be agreed by the MCA in its constitution, which would be updated in light of this Scheme document / any future Order (e.g. an order relating to the 'Skills' part of the Deal).

4. Area of Authority

- 4.1. The MCA area shall be the whole of the local government areas for the following local authorities:
- Barnsley Metropolitan Borough Council
- Bassetlaw District Council
- Chesterfield Borough Council
- Doncaster Metropolitan Borough Council
- Rotherham Metropolitan Borough Council
- Sheffield City Council.
- 4.2. The Constituent Councils will each appoint one elected member to be a member of the MCA.
- 4.3. The Executive of each non-constituent council will appoint one elected member each to the MCA.
- 4.4. Membership of the MCA will be a decision of the Executive of each council.²⁵
- 4.5. To maintain the status of the MCA being a "Leaders' Board" there will be a protocol that each constituent and non-constituent council appoint its Leader or elected mayor (i.e. in the case of Doncaster) to the MCA.
- 4.6. The Executive of each constituent and non-constituent council shall each appoint another of its elected members to act as a member of the MCA in the absence of the elected member appointed under paragraph 4.2 and 4.3 above (a "substitute member").
- 4.7. The Executive of a constituent or non-constituent council may at any time terminate the appointment of a member or substitute member appointed by it to the MCA. Appointment and reappointment of a new member will be an executive decision of each constituent and non-constituent Council.
- 4.8. Where a member or substitute member of the MCA ceases (for whatever reason) to be an elected member of the council that appointed them, the elected member shall cease to be a member of the MCA, and the Executive of the relevant council shall appoint a replacement member as soon as practicable.

²⁵ This assumes the council is operating executive arrangements.

- 4.9. The MCA mayor shall chair the MCA and shall, in each year, appoint a Vice-Chair from members of the MCA. The Mayor shall adopt the title of “City Region Mayor”.
- 4.10. The MCA may co-opt additional, non-voting representatives from, for example, from the SCR Local Enterprise Partnership Board.

5. The functions of the MCA and the division of those functions

- 5.1. In line with the Devolution Agreement, the Mayor will chair the Sheffield City Region Combined Authority, the members of which will serve as the Mayor’s Cabinet. The Mayor and the Sheffield City Region Combined Authority will be scrutinised and held to account by the SCR Overview and Scrutiny committee.
- 5.2. The MCA will have powers in relation to Strategic Economic Development (including transport). Unless otherwise stated, these powers will be exercised by the MCA on a concurrent basis i.e. no powers have been “ceded” to the MCA from its current constituent members. However, in line with the general principle of devolution, some powers and/or duties will be ceded from the relevant Minister or Government department or where provision is made in legislation for the “transfer” of a County function to the MCA as a result of the extension of the geography of the MCA to include the areas of Bassetlaw and Chesterfield.
- 5.3. Functions of the MCA will divide into two categories:
 - (a) Mayoral functions
 - (b) Combined Authority functions.
- 5.4. Reference to “functions” refers to both:
 - (a) roles and responsibilities, including responsibility for the oversight and allocation of funding responsibilities as part of the overall budget set by the Authority and the Mayor respectively; and
 - (b) those statutory powers to be given to each of them, to supplement the existing powers available to the Authority, to implement the SCR Devolution Deal.
- 5.5. The inclusion of the additional local authority areas of Bassetlaw and Chesterfield will result in additional functions in respect of transportation being transferred from the County Councils. The MCA will be the Local Transport Authority (LTA) (as defined in s.108 Transport Act 2000) for the areas of Bassetlaw and Chesterfield.

6. Mayoral functions.

Responsibility for a consolidated devolved transport budget (including all relevant devolved highway funding) with a multi-year settlement.

- 6.1. The devolved transport element of the pot will be made up of the following funding streams and paid to the Combined Authority, with a firm funding commitment for the period until 2020/21:

- (1) Integrated Transport Block
- (2) Highways Maintenance Block (not including PFI)
- (3) Highways Maintenance incentive funding.

Responsibility for franchised bus services

- 6.2. The relevant statutory powers will be afforded following the passing of the Bus Services Bill 2016:

- (a) Mayoral Bus Franchising - the power for a Mayoral Combined Authority to franchise bus services in a CA Area.

Responsibility for an identified Key Route Network of local authority roads

- 6.3. There will be no transfer of statutory responsibility for such roads from the existing highway authorities. The identified network will be collaboratively managed and at the City Region level by the respective Highway Authorities in partnership with the Mayor (who would be responsible for the overall coordination of the collaborative arrangements).
- 6.4. Responsibility for resourcing maintenance and operational management of the network would remain the responsibility of the respective highway authorities.

The power to create a mayoral development corporation

- 6.5. Mayor to have powers equivalent to London Mayor under Part 8 Chapter 2 of Localism Act 2011 with the following modifications:
- (a) Any powers exercisable by the Mayor to be exercised only with the consent of the Combined Authority member for the area(s) of the Mayoral Development Corporation(s).
 - (b) In two tier areas either the respective county council or the district council would be expected to provide consent for the area(s) of the Mayoral Development Corporation.

To be consulted on planning applications of strategic importance to the SCR

- 6.6. LPAs to be required to consult the Mayor on applications of Potential Strategic Importance (PSI). Requirement to be achieved by adding the Mayor as a statutory consultee to PSI applications under Schedule 4 of the Town and Country Planning (Development Management Procedure) Order 2015.
- 6.7. PSI applications to be defined in the Order – similar to but more limited than the definition of PSI in the Town and Country Planning (London Mayor) Order 2008 e.g.

large scale housing of at least 300 houses; large commercial schemes in excess of 15,000 sq metres; large scale infrastructure and waste management facilities, departures from the agreed development plans of LPAs, and other schemes which would affect the delivery of the Mayor's Spatial Framework. The Mayor would have the power to amend the definition of PSI thereafter.

- 6.8. The Mayor should be a statutory consultee and interested party under the Planning Act 2008 for any Nationally Significant Infrastructure Projects that may have an effect on the Sheffield City Region.

Spatial development strategy

- 6.9. Power to be granted to SCR Mayor equivalent to the duty of the London Mayor to prepare and publish a "spatial development strategy" under Section 334 of the Greater London Authority Act 1999 to be known as the "Spatial Framework" for the economic area. Sections 334 – 350 GLA 1999 legislation to apply with necessary reference changes and the following specific modifications:
- (a) Procedure for adoption of policy varied to exclude requirements for examination in public. Instead the Mayor to publish and adhere to a "statement of stakeholder engagement" equivalent in content to a Statement of Community Involvement.
 - (b) The duty for development plans to be in general conformity with the mayor's plan to be limited to a duty for constituent member Local Planning Authorities "to have regard to" the Mayors plan when preparing and adopting development plan documents under Section 19 of the Planning and Compulsory Purchase Act 2004 (and any other consequential or incidental amendments to legislation e.g. Section 347 GLAA 1999).
 - (c) Mayor to have regard to local plans under Section 342 in preparing the Mayor's Spatial Framework.
 - (d) Mayor to be statutory consultee (prescribed body) in preparation of local plans under regulation 4 of the Town and Country Planning (Local Planning) (England) Regulations 2012.

Supplementary Planning Guidance

- 6.10. The adoption of Sections 334 – 350 would include an adaptation of Section 348 to allow the Mayor to provide formal supplementary guidance on policies within his plan. LPA to have regard to Mayors plan and any SPG issued under it in preparation of local plans under Section 19 PCPA 2004.

To chair the Sheffield City Region Joint Assets Board

- 6.11. A programme aimed to make more efficient use of public sector assets.

Other mayoral powers and functions

- 6.12. Under Section 5 of the Cities and Local Government Devolution Act, a mayoral combined authority becomes a major precepting authority for the purpose of the Local Government Finance Act 1992 (the “LGFA 1992”) and may issue a precept under section 40, but only in relation to expenditure incurred by the mayor in connection with the exercise of “mayoral functions” which are defined as:- “(a) the mayor’s general functions, and (b) if the mayor exercises PCC functions, the mayor’s PCC functions”.²⁶
- 6.13. The mayor will also have the power to prepare a budget in relation to their general functions.

The Mayor may undertake these functions individually or through delegated arrangements

- 6.14. The Mayor is to be granted the power contained in Section 107D(3)(c)(ii) of the Local Democracy Economic Development and Construction Act to delegate Mayoral functions to a Committee consisting of persons appointed by the Mayor (to be known as the Mayor’s Cabinet). This may include persons who are not members of the authority such as for example the chair of the local enterprise partnership.
- 6.15. This power would also allow the Mayor to delegate to a committee comprising elected members from the constituent or non-constituent authorities similar to the existing Transport Committee.
- 6.16. The Mayor may also delegate functions to the Deputy Mayor or to another member of the Authority or to an officer. It is anticipated that delegated decisions taken by one or more individual member of the Authority shall be taken through the existing structure of Executive Boards established by the Authority (including a Transport Committee) whose Terms of Reference shall be extended to include Mayoral functions delegated by the Mayor.
- 6.17. The SCR Mayor will also be required to consult the SCR CA Cabinet on his/her spending plans or strategies, which it may reject if two-thirds of the members agree to do so.
- 6.18. Any Committee to which is delegated functions under section 107D (3)(c) (ii) above shall make provision for the voting arrangements to be such that any decision of the Committee in which the Mayor does not comprise part of the majority will require the support of 2/3 or more of the Constituent members comprising members of the Committee.

²⁶ Not proposed in this Scheme.

7. Combined Authority functions

- 7.1. Unless otherwise stated, existing functions of the Authority will remain Combined Authority functions.
- 7.2. Additional Combined Authority functions to deliver the SCR Devolution Deal include:
Control of a new additional £30 million a year Investment Fund - allocation over 30 years, to be invested to boost growth (referred to as 'gainshare' and subject to an 'uplift' should new constituent members join the CA).
- 7.3. This allocation is available to be defrayed in respect of both Mayoral and non-Mayoral functions as determined in the overall budget set by the Authority and the Mayor respectively.
- 7.4. Whilst the formal budget of the Mayoral Combined Authority will need to be comprised of two discrete elements in relation to expenditure on Mayoral functions and non-mayoral functions the overall approval of the allocation of the resources within the Investment Fund ("gainshare") will be a function of the Combined Authority to inform the formal budget setting process.
- 7.5. The Investment Fund is part of a wider Single Pot allocation agreed as part of the Sheffield City Region Devolution Deal.

Skills

"Readiness conditions"

- 7.6. The devolved powers and functions set out in the Devolution agreement are subject to 6 "readiness conditions" namely:
 - 1) Parliament has legislated to enable transfer to local authorities of the current statutory duties on the Secretary of State to secure appropriate facilities for further education for adults from this budget and for provision to be free in certain circumstances.
 - 2) Completion of the Area Review process leading to a sustainable provider base.
 - 3) After the area reviews are complete, arrangements are in place between central government and the Combined Authority to ensure that devolved funding decisions take account of the need to maintain a sustainable and financially viable 16+ provider base.
 - 4) Clear principles and arrangements have been agreed between central government and the Combined Authority for sharing financial risk and managing failure of 16+ providers, reflecting the balance of devolved and national interest and protecting the taxpayer from unnecessary expenditure and liabilities.
 - 5) Learner protection and minimum standards arrangements agreed.

- 6) Funding and provider management arrangements, including securing financial assurance, are agreed in a way that minimises costs, maximises consistency and transparency.
- 7.7. The Department for Business Innovation and Skills (BIS) take the view that powers and/or duties contained in the following legislation should be transferred from the Secretary of State to the MCA or exercised concurrently with the MCA:
 - (a) Apprenticeship, Skills, Children and Learning Act 2009 (ASCAL 2009) as amended by the Deregulation Act 2015.
 - (b) Employment and Training Act 1973.
- 7.8. Details of the specific provisions will be provided by the Secretary of State in due course (and will be subject to future Order).

Local Authority powers to be exercised concurrently by the MCA (i.e. these would be CA/non-mayoral powers).

Education and Skills Act 2008

- (a) Sections 10 (duty to promote the effective participation in education or training) and Section 12 (duty to make arrangements to identify persons not in education or training).
- (b) Sections 68 (provision of services to encourage, enable or assist the effective participation of those persons in education or training), Section 70 (local education authorities: supplementary powers) and Section 71 (provision of support on conditional basis: learning and support agreements).

Education Act 1996

- (a) Section 13A (duty to promote high standards in primary and secondary education).
- (b) Sections 15A and 15B (functions in respect of full-time education for 16 to 18 year olds / education for persons over 19).

Further and Higher Education Act 1992

- (a) Section 51A (provision of education services for named individuals).

Work Programme

- 7.9. The CA will have joint responsibility with Government to co-design employment support for the harder-to-help claimants, many of whom are currently referred to the Work Programme and Work Choice. SCR will also bring forward a proposal to pilot more intensive support for those furthest from the labour market.

Working with UKTI

- 7.10. The CA will facilitate more effective joint working with UKTI to boost trade and investment, and responsibility to work with Government to develop and implement a devolved approach to the delivery of national business support programmes from 2017.

Transport powers

- 7.11. The MCA shall have the following transport powers:
- (a) Bus Services Bill 2016 - Enhanced Voluntary Partnerships (Power for a CA to promote an enhanced version of the voluntary Partnership model).
- 7.12. In respect of the extended area of the SCR CA the MCA will have all the Local Transport Authority functions that it already exercises over the existing area. These powers would only be exercisable (subject to any transitional arrangements) by the MCA and include:
- (a) Sections 108-112 Transport Act 2000 - Production of the Local Transport Plan by the LTA/ITA [MCA].
 - (b) Section 114 Transport Act 2000 - Making of a Quality Partnership Scheme. A statutory scheme requiring operators to operate buses to set standards in order to be able to utilise certain facilities [Traffic regulation order is needed, see 114(7)].
 - (c) Section 124 Transport Act 2000 - Making of a Quality Contract Scheme to rebrand bus services in an area or part of an area.
 - (d) Section 135 Transport Act 2000 - Making of a Ticketing Scheme for multi-operator/multi-modal ticketing in the whole or part of an area.
 - (e) Section 139 Transport Act 2000 - Information Scheme about bus services. Power to make information available in a manner deemed appropriate by the CA, and recover costs of making info available in absence of operators doing so.
 - (f) Section 163 Transport Act 2000 - Road User Charging Scheme.
 - (g) Section 46 Local Transport Act 2008 - Entering into a Voluntary Partnership Scheme (that is subject to the schedule 10 of the 2000 Act Competition Test).
 - (h) Section 9A Transport Act 1985 / Sections 88-91 Transport Act 1985 - Securing tendered/subsidised bus services i.e. bus services determined by the CA to be required that are not provided commercially.
 - (i) Section 93 Transport Act 1985 - Travel concession scheme (non-mandatory).
 - (j) Section 106 Transport Act 1985 - Power to provide grants for services e.g. Community Transport and facilities in the Authorities area.

(k) Section 99 Local Transport Act 2008 - Power to promote the wellbeing of its area.

(l) Section 11/12 Localism Act 2011 - General Power of competence Section 145 Transport Act 2000 - Statutory elderly/disabled free concessions (Passenger Transport Executive function for the MCA area).

Housing

7.13. The MCA to exercise the objectives and functions of the Homes and Communities Agency (“HCA”) under Section 2(1) and Section 3-12, 17 and 18-19 of the Housing and Regeneration Act 2008 (“H&R Act 2008”). These functions to be exercised concurrently with the HCA with respect to the area of the MCA. These functions will be MCA functions non-Mayoral functions.

7.14. The functions are:

- a) to improve the supply and quality of housing;
- b) to secure the regeneration or development of land or infrastructure;
- c) to support in other ways the creation, regeneration and development of communities or their continued well-being; and
- d) to contribute to the achievement of sustainable development and good design.

7.15. In order to achieve the objectives above, the MCA should have the benefit of exemption from Section 23 of the Land Compensation Act 1961 enjoyed by the HCA under section 23(3)(d) of that Act.

Nature of decision making – CA functions

7.16. All decisions taken by the Combined Authority will be determined on a simple majority of members present and entitled to vote in respect of the relevant item of business and voting.

7.17. Members from the non-constituent councils must, in accordance with section 85(4) of the Local Transport Act 2008, be non-voting members of the Authority. The constituent councils and the City Region Mayor may, in accordance with section 85(5) Local Transport Act 2008, resolve to extend the voting rights on defined matters to the non-constituent council members.

7.18. The existing protocol (that non-constituent members are given full voting right on all appropriate issues) will continue. Non-constituent members will only be excluded from voting on issues where it is either not relevant or not appropriate for the non-constituent member to exercise voting rights (e.g. the Combined Authority transport levy).

8. Combined Authority functions requiring unanimity – known as “Key Decisions”

- 8.1. Key decisions include:
- a) The creation of a spatial planning framework.
 - b) The determination of a wider Single Pot allocation agreed as part of the Sheffield City Region Devolution Deal the defraying of which to be agreed unanimously by the Combined Authority to inform the formal budget setting process following an initial recommendation from the Mayor to the Combined Authority.
- 8.2. The creation of a strategic spatial planning framework would require the approval of all constituent members of the CA (i.e. including the two county councils) and the Mayor (this would mean that the Mayor would of course be in the majority for such decisions).²⁷
- 8.3. Determination of the Single Pot budget would require the agreement of the following constituent members: Barnsley Metropolitan Borough Council; Bassetlaw District Council; Chesterfield Borough Council; Doncaster Metropolitan Borough Council; Rotherham Metropolitan Borough Council and Sheffield City Council. Note: this amounts to agreement of the overall budget allocations(s) and not individual spending decisions.

9. Executive Arrangements

- 9.1. Executive arrangements (within the meaning of the Local Government Act 2000) shall not apply to the MCA. However, the discharge of the functions of the MCA will be subject to the scrutiny arrangements set out in Section 10.

10. South Yorkshire Passenger Transport Executive (SYLTE)

- 10.1. The South Yorkshire Passenger Transport Executive will be the operational transport body of the MCA (as it is for the CA) and its remit would extend beyond South Yorkshire to include the areas of Bassetlaw and Chesterfield. SYLTE shall have all the functions necessary for it to discharge such functions on behalf of the MCA across that wider area.

11. Audit Committee / Scrutiny

- 11.1. Paragraph 3(1) of Schedule 5A to the 2009 Act provides that the Secretary of State may make provision for overview and scrutiny committees of a combined authority. Paragraph 4(3) of Schedule 5A to the 2009 Act provides that the Secretary of State

²⁷ This point will be dealt with through the constitution and not any future Order.

may make provision for the membership of a combined authority's audit committee and the appointment of the members.

- 11.2. The nine local authorities of the Sheffield City Region have established a joint overview and scrutiny committee to exercise scrutiny functions over the combined authority (including, where appropriate, the SCR Authority's sub-boards).²⁸ The nine authorities have also established an audit committee.²⁹
- 11.3. The MCA will act in accordance with the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016 including:
 - a) Part 1, which makes general provision for overview and scrutiny provisions of a combined authority. Article 3 makes provision for the membership of the overview and scrutiny committee.
 - b) Article 4 which makes provision for dealing with references of matters to overview and scrutiny committees by members of the combined authority, including those who are not members of that overview and scrutiny committee and members of constituent and non-constituent councils, including those who are not members of the combined authority.
 - c) Article 5 which imposes a duty on a combined authority to respond to reports and recommendations of overview and scrutiny committees and Article 6 which prevents the publication or supply of any information which contains confidential or exempt information by overview and scrutiny committees or the combined authority.
 - d) Part 4 which concerns the audit committees to be appointed by combined authorities. Article 12 provides for the membership requirements of an audit committee.

12. Funding

- 12.1. The MCA, as a levying body under Section 74 of the Local Government Finance Act 1988, shall have the power to issue a levy to its constituent councils in respect of the expenses and liabilities of the MCA which are reasonably attributable to the exercise of its transport functions. The amount to be raised by the levy shall be apportioned between the representative authorities on a per capita basis (or as otherwise agreed).
- 12.2. Other costs of the Authority that are not raised by way of a levy (and are not met from devolved or other funds) shall be met by the constituent and non-constituent

²⁸ <http://meetings.southyorks.gov.uk/ieListMeetings.aspx?CId=383&Year=0&zTS=B>.

²⁹ <http://meetings.southyorks.gov.uk/ieListMeetings.aspx?CId=381&Year=0&zTS=B>.

councils. Such costs shall be apportioned between the Councils in such proportions as they shall agree.

- 12.3. Costs in respect of Mayoral functions that are not met from devolved funds shall be raised by way of a Mayoral precept.
- 12.4. It has been agreed that, without a further an explicit policy decision, the implementation of this Scheme will not lead to an impact on Council Tax bills for residents within the area of the MCA.
- 12.5. Devolved funding provided by way of grant shall be allocated through the amalgamation of such funding into a combined Single Pot to be defrayed as unanimously agreed by the 6 constituent members detailed at Paragraph 8.3 on receipt of an initial recommendation from the Mayor.³⁰
- 12.6. Borrowing to support any expenditure in respect of Mayoral or non-Mayoral functions shall include in addition to the existing power of the Authority to borrow for transport purposes the power to borrow for any purpose relevant to the functions of the Authority both Mayoral and Non Mayoral. The Secretary of State is being asked to make appropriate regulations under section 23(5) of the Local Government Act 2003 to extend such borrowing powers.
- 12.7. The MCA will agree an annual budget for the purpose of all of the above expenditure prior to the statutory procedure for the establishing of a Mayoral fund and the issuing of a Mayoral precept.

13. SCR Local Enterprise Partnership

- 13.1. The Sheffield City Region has a strong LEP Board that brings together elected leaders with representatives from the private sector. Such a board is seen as critical for the promotion and facilitation of economic growth in the City Region.
- 13.2. This board (or its successors as required by Government) will work alongside the MCA, as well as discharging the practical decision making role in respect of certain functions as required by Government and/or the MCA.
- 13.3. It is intended that the SCR Local Enterprise Partnership would be a lead advisory body to the MCA on matters of economic development – including providing leadership of particular SCR projects and workstreams. This will further “hardwire” a role for the private sector into the leadership of the Sheffield City Region – something that makes the SCR distinctive and unique.
- 13.4. The mayor will be a member of the SCR LEP Board.

³⁰ Note: this amounts to agreement of the overall budget allocation(s) and not individual spending decisions.

14. Other Arrangements

- 14.1. The SCR Authority may establish sub-structures and sub-committees and delegate powers and functions as is appropriate.
- 14.2. The SCR model of delegated decisions through “executive boards” will continue.

REPORT OF THE CORPORATE DIRECTOR OF RESOURCES**WORK PROGRAMME****Purpose of the Report**

1. To review the Committee's work programme for 2016/17.

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. 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.
5. The following changes have been made since the work programme was published in the agenda for the last meeting:-
 - a. The following items were added to the agenda for the 13 July Policy Committee meeting to enable consideration by Members at the earliest opportunity:-
 - i) Accessible Communication Policy
 - ii) Workforce Strategy
 - iii) Consultation on the Sheffield City Region Combined Authority Scheme – Proposed County Council Response
 - b. The following item was withdrawn from the agenda of the July Policy Committee meeting:-
 - i) Community Empowerment and Resilience Programme Update – deferred whilst consideration given to overall programme and potential benefits accruing.

- ii) County Life – a full options appraisal of the Life publications is currently underway.
- c. The following items have been rescheduled:-
 - i) Review of Senior Management Structure – deferred to September Policy Committee meeting to enable Chief Executive to present this agenda item.
 - ii) The State of Nottinghamshire - deferred to September Policy Committee meeting to enable Chief Executive to present this agenda item.
 - iii) County Council Network Conference – deferred to September – awaiting further information about the contents of the conference.
- d. The following new items have been added to the Work Programme:-
 - i) Flood Risk Management Strategy – added to September 2016.
 - ii) Commercial Development Unit – Next Steps – added to September 2016.

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

- 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 - Resources

For any enquiries about this report please contact:

Keith Ford, Team Manager, Democratic Services Tel. 0115 9772590

E-mail: keith.ford@nottscc.gov.uk

Constitutional Comments (SLB)

The Committee has authority to consider the matters set out in this report by virtue of its terms of reference.

Financial Comments (NS)

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 5 JULY 2016)

<u>Report Title</u>	<u>Brief summary of agenda item</u>	<u>Lead Officer</u>	<u>Report Author</u>
21 September 2016			
Commercial Development Unit – Next Steps	To consider the next steps in progressing the Commercial Development Unit.	Martin Done	Martin Done
County Council Network Conference	To seek approval for the attendance of Members and the Chief Executive at the annual conference on 6 th - 8 th November in Guildford, Surrey	Jayne Francis-Ward	Keith Ford
The State of Nottinghamshire	To assess the County's current social, economic and environmental issues in order to inform the development of the Council's Strategic Plan 2018 – 2022 and provide an evidence base for future service commissioning.	Anthony May	Paula Mullin
Review of Senior Management Structure	Review following interim structure agreed by Policy Committee on 15 July 2015.	Anthony May	Anthony May
Flood Risk Management Strategy	To seek approval for new Strategy.	Tim Gregory	Gary Wood
Nottinghamshire Multi-Agency Transitions Protocol for Children and Young People with Disabilities	Approval of new Protocol.	Colin Pettigrew	Jill Norman / Paul Johnson
Update on the work of East Midlands Councils	Quarterly Update from Stuart Young, Executive Director.	Jayne Francis-Ward	Stuart Young
Update on City of Nottingham and Nottinghamshire Economic Prosperity Committee and the Local Enterprise Partnership	Update report as requested by Policy Committee on 11 November 2015.	Tim Gregory	Matt Lockley
19 October 2016			
Performance Reporting on the Strategic Plan 2014-18 and Redefining Your	To consider progress and performance against each of the Strategic Plan priorities and the programmes within Redefining Your Council. Page 117 of 118	Nigel Stevenson	Celia Morris

<u>Report Title</u>	<u>Brief summary of agenda item</u>	<u>Lead Officer</u>	<u>Report Author</u>
Council			
16 November 2016			
Update on use of Urgency Procedure	To update Policy Committee about the number of occasions the Urgency provisions have been used and the reasons for their use.	Jayne Francis-Ward	Keith Ford
14 December 2016			
Update on the work of East Midlands Councils	Quarterly Update from Stuart Young, Executive Director.	Jayne Francis-Ward	Stuart Young
18 January 2017			
Performance Reporting on the Strategic Plan 2014-18 and Redefining Your Council	To consider progress and performance against each of the Strategic Plan priorities and the programmes within Redefining Your Council.	Nigel Stevenson	Celia Morris
8 February 2017			
15 March 2017			
Update on the work of East Midlands Councils	Quarterly Update from Stuart Young, Executive Director.	Jayne Francis-Ward	Stuart Young
Update on City of Nottingham and Nottinghamshire Economic Prosperity Committee and the Local Enterprise Partnership	Update report as requested by Policy Committee on 11 November 2015.	Tim Gregory	Matt Lockley
19 April 2017			
Performance Reporting on the Strategic Plan 2014-18 and Redefining Your Council	To consider progress and performance against each of the Strategic Plan priorities and the programmes within Redefining Your Council.	Nigel Stevenson	Celia Morris