

# Agenda

## Cabinet

Date: **Thursday 28 March 2024**

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Time: **2.00 pm**

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Place: **Council Chamber**

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For any further information please contact:

**Democratic Services**

[committees@gedling.gov.uk](mailto:committees@gedling.gov.uk)

0115 901 3906

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# Cabinet

## Membership

**Chair** Councillor John Clarke

**Vice-Chair** Councillor Michael Payne

Councillor David Ellis  
Councillor Kathryn Fox  
Councillor Jenny Hollingsworth  
Councillor Viv McCrossen  
Councillor Marje Paling  
Councillor Lynda Pearson  
Councillor Henry Wheeler

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Responsibility of committee:

Cabinet is the meeting of all executive members. The Executive will carry out all of the local authority's functions which are not the responsibility of any other part of the local authority, whether by law or under the Constitution. Cabinet Portfolios are detailed within Section 6, Part 9 of the Council's Constitution.

## AGENDA

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## **MINUTES CABINET**

**Wednesday 21 February 2024**

Councillor John Clarke (Chair)

Councillor Michael Payne  
Councillor David Ellis  
Councillor Kathryn Fox  
Councillor Jenny Hollingsworth

Councillor Viv McCrossen  
Councillor Marje Paling  
Councillor Lynda Pearson  
Councillor Henry Wheeler

Officers in Attendance: T Adams, M Hill, C McCleary and F Whyley

### **72 APOLOGIES FOR ABSENCE**

None received.

### **73 TO APPROVE, AS A CORRECT RECORD, THE MINUTES OF THE MEETING HELD ON 31 JANUARY 2024**

#### **RESOLVED:**

That the minutes of the above meeting, having been circulated, be approved as a correct record.

### **74 DECLARATION OF INTERESTS**

Councillors' Hollingsworth and Pearson declared a non-pecuniary interest in item 9, as four out of the five projects are in Gedling ward.

### **75 FORWARD PLAN**

Consideration was given to a report of the Democratic Services Manager, which had been circulated prior to the meeting, detailing the Executive's draft Forward Plan for the next six month period.

#### **RESOLVED:**

To note the report.

### **76 PRUDENTIAL AND TREASURY INDICATORS AND TREASURY MANAGEMENT STRATEGY STATEMENT 2024/25**

The Head of Finance and ICT introduced the report, which had been circulated in advance of the meeting, seeking approval of the Council's prudential code indicators and treasury strategy for 2024/25.

**RESOLVED to:**

- 1) Approve the prudential and treasury indicators and treasury management strategy statement (TMSS) 2024/25, which includes the key elements below, and refer it to Council on 6 March 2024 for approval:
  - a. The minimum revenue provision (MRP) policy statement (2.2);
  - b. The borrowing strategy (2.3.4);
  - c. The annual investment strategy (2.3.8);
  - d. Capital affordability prudential indicators for 2024/25 to 2026/27 (appendix 1);
  - e. Treasury indicators including affordability limits to borrowing for 2024/25 to 2026/27 at appendix 1 to the report; and
- 2) Note the indicative prudential indicators for 2027/28 and 2028/29 at appendix 1 to the report.

**77**

**CAPITAL PROGRAMME AND CAPITAL INVESTMENT STRATEGY  
2024/25 TO 2028/29**

The Head of Finance and ICT introduced the capital programme for the next financial year as well as an indicative capital spending strategy for the next five years.

**RESOLVED to:**

- 1) Note the estimated capital financing available for 2024/25 to 2028/29;
- 2) Approve the capital investment strategy 2024/25 to 2028/29 detailed at appendix 1 to the report and refer it to Council for approval on 6 March 2024;
- 3) Approve the capital programme for 2024/25 to 2026/27 detailed at appendix 2 to the report and refer it to Council for approval on 6 March 2024; and
- 4) Note the indicative capital programme for 2027/28 to 2028/29.

**78**

**GENERAL FUND REVENUE BUDGET 2024/25**

The Head of Finance and ICT introduced the proposed 2024/25 general fund revenue budget.

**RESOLVED to:**

- 1) Approve a 5% discretionary income inflation increase for the individual portfolios as shown in the table at paragraph 2.4.5 of the report; and

- 2) Recommend to Council on 6 March 2024 that:
  - a. the financial threshold above which decisions will be regarded as key decisions be set at £0.5m for 2024/25;
  - b. a provisional council tax increase of 2.988% (£5.48) which balances the financing of a net council tax requirement of £7,358,400 in 2024/25;
  - c. the detailed budget for 2024/25, as detailed in appendix 1 of the report be approved.

## **79 HILL CREST BUSINESS PARK EXTENSION, CALVERTON**

The Head of Regeneration and Welfare introduced a report, which had been circulated in advance of the meeting, seeking approval to proceed with the design and development of 4 additional small business units for SME's at the Hill Crest Business Park in Calverton (the site).

### **RESOLVED to:**

- 1) Note the D2N2 decision to include the Hill Crest Business Park extension onto the LEP Capital Programme;
- 2) Approve an increase in the Hill Crest Business Park project budget of £146,000 to be funded from the UK SPF grant which creates an overall budget of £1,534,000;
- 3) Approve officers to continue with the completion of the D2N2 Final Business Case submission and therefore proceed with the design development to RIBA 4 at a cost of £78,000 and Employer Agents costs of £18,000 both of which are included in the proposed new budget envelope; and
- 4) Delegate authority to the Chief Executive in consultation with the Legal Services Manager and Portfolio Holder for Sustainable Growth and Economy, to sign off the final business case submission and enter into a legal agreement with the D2N2 LEP to deliver the scheme, should the business case be successful.

## **80 COMMUNITY INFRASTRUCTURE LEVY (CIL) NON- PARISH FUNDING – LOCAL INFRASTRUCTURE SCHEDULE, PROJECT ASSESSMENTS AND PROPOSED FUNDING ALLOCATIONS**

The Community Infrastructure Levy Officer introduced a report, which had been circulated in advance of the meeting, seeking approval for the commencement of a four week public consultation on the projects shortlisted to receive CIL Neighbourhood Funding in the 'CIL Non-Parish

Funding – Local Infrastructure Schedule, Project Assessments and Proposed Funding Allocations’ document.

**RESOLVED:**

To approve the commencement of consultation on Monday 18th March 2024 for a period of 4 weeks on the projects nominated for CIL Non-Parish Funding.

**81**

**ANY OTHER ITEMS THE CHAIR CONSIDERS URGENT**

None.

The meeting finished at 3.15 pm

Signed by Chair:  
Date:



## **Report to Cabinet**

**Subject:** Forward Plan

**Date:** 28 March 2024

**Author:** Democratic Services Manager

### **Wards Affected**

All

### **Purpose**

To present the Executive's draft Forward Plan for the next six-month period.

### **Key Decision**

This is not a Key Decision.

### **Recommendation(s)**

**THAT:**

**Cabinet notes the contents of the draft Forward Plan making comments where appropriate.**

## **1 Background**

- 1.1 The Council is required by law to give notice of key decisions that are scheduled to be taken by the Executive.
- 1.2 A key decision is one which is financially significant, in terms of spending or savings, for the service or function concerned (more than £500,000), or which will have a significant impact on communities, in two or more wards in the Borough.
- 1.3 In the interests of effective coordination and public transparency, the plan includes any item that is likely to require an Executive decision of the Council, Cabinet or Cabinet Member (whether a key decision or not). The Forward Plan covers the following 6 months and must be

updated on a rolling monthly basis. All items have been discussed and approved by the Senior Leadership Team.

## **2 Proposal**

- 2.1 The Forward Plan is ultimately the responsibility of the Leader and Cabinet as it contains Executive business due for decision. The Plan is therefore presented at this meeting to give Cabinet the opportunity to discuss, amend or delete any item that is listed.

## **3 Alternative Options**

- 3.1 Cabinet could decide not agree with any of the items are suggested for inclusion in the plan. This would then be referred back to the Senior Leadership Team.
- 3.2 Cabinet could decide to move the date for consideration of any item.

## **4 Financial Implications**

- 4.1 There are no financial implications directly arising from this report.

## **5 Legal Implications**

- 5.1 There are no legal implications directly arising from this report.

## **6 Equalities Implications**

- 6.1 There are no equalities implications arising from this report.

## **7 Carbon Reduction/Environmental Sustainability Implications**

- 7.1 There are no carbon reduction/sustainability implications arising from this report.

## **8 Appendices**

- 8.1 Appendix 1 – Forward Plan

## **9 Background Papers**

- 9.1 None identified

## **10 Reasons for Recommendations**

- 10.1 To promote the items that are due for decision by Gedling Borough Council's Executive over the following six-month period.

**Statutory Officer approval****Approved by:**

Chief Financial Officer

**Date:**

20/03/2024

**Approved by:**

Monitoring Officer

20/03/2024

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# **Gedling** **FORWARD PLAN**

## **FOR THE PERIOD 1 APRIL 2024 TO 31 JULY 2024**

This Forward Plan sets out the details of the key and non-key decisions which the Executive Cabinet expect to take during the next six months.

The current members of the Executive Cabinet are:

Councillor John Clarke – Leader of the Council

Councillor Michael Payne – Deputy Leader and Portfolio Holder for Corporate Resources and Performance

Councillor David Ellis – Portfolio Holder for Public Protection

Councillor Kathryn Fox – Portfolio Holder for Life Chances and Vulnerability

Councillor Jenny Hollingsworth – Portfolio Holder for Sustainable Growth and Economy

Councillor Marje Paling – Portfolio Holder for Environmental Services (Operations)

Councillor Lynda Pearson – Portfolio Holder for Communities and Place

Councillor Viv McCrossen – Portfolio Holder for Climate Change and Natural Habitat

Councillor Henry Wheeler – Portfolio Holder for Lifestyles, Health and Wellbeing.

Anyone wishing to make representations about any of the matters listed below may do so by contacting the relevant officer listed against each key decision, within the time period indicated.

Description of the decision	Date decision is expected to be taken and who will take the decision?	Responsible Officer	Documents to be considered by the decision maker	Cabinet Portfolio	Open / Exempt (and reason if the decision is to be taken in private)
					Is this a Key Decision?
<b>Community Asset transfer of Wollaton Avenue Community Centre</b> To give members an update on the community asset transfer of Wollaton Avenue Community Centre	<b>18 Apr 2024 Cabinet</b>	Lance Juby, Head of Communities and Leisure	Officer Report	Portfolio Holder for Lifestyles, Health and Wellbeing	Open  No
<b>Interim Planning Policy Statement: Biodiversity Net Gain</b> To approve an interim planning policy statement on biodiversity net gain	<b>18 Apr 2024 Cabinet</b>	Jo Gray, Planning Policy Manager	Officer Report	Portfolio Holder for Sustainable Growth and Economy	Open  Yes
<b>Strategic Review - Community Facilities</b> To adopt the further strategic work undertaken as part of the Strategic Outcomes Planning Model	<b>23 May 2024 Cabinet</b>	Lance Juby, Head of Communities and Leisure	Officer Report	Portfolio Holder for Lifestyles, Health and Wellbeing	Open  Yes
<b>Front Street</b> To give members an update on the properties on Front Street	<b>23 May 2024 Cabinet</b>	Tanya Najuk, Head of Regeneration and Welfare	Officer Report	Portfolio Holder for Corporate Resources and Performance	Open  Yes



**Report to:** Cabinet

**Subject:** Gedling Plan Performance Indicators 2024/25

**Date:** 28 March 2024

**Author:** Senior Leadership Team

## **PURPOSE OF REPORT**

To agree the performance indicators and targets against which progress of the Gedling Plan will be measured in 2024/25.

## **Key Decision**

This is not a key decision.

## **Recommendation(s)**

### **THAT:**

1. The performance indicators and targets set out in Appendix 1 be approved for 2024/25.

## **1. Background**

- 1.1 The Gedling Plan 2023/27 was approved by Cabinet on 16 February 2023 and Council on 2 March 2023. The Plan sets out the Council's strategic direction and the key strategic actions which will be delivered to meet the priority objectives until 2027.
- 1.2 As Members are aware, performance indicators are used to monitor and measure progress against the Gedling Plan priorities and are reviewed annually. Current performance indicators and targets have been reviewed by Senior Leadership Team and Heads of Service to assess whether they are still appropriate to measure progress against the Plan and amended where required.
- 1.3 The performance indicator targets are set in order to provide a stretch target for service delivery. Sometimes the targets are set in response to legislation or national guidance, for example, some planning targets; sometimes they are set following benchmarking with other similar organisations; and sometimes they are purely internal targets that have been determined locally and, based on professional experience, set as a measure of what would be expected to be good performance. Indicators are reviewed annually to ensure that they remain relevant, meaningful and challenging.

## 2. Proposal

- 2.1 It is proposed that the suite of performance indicators and targets for 2024/25 at Appendix 1 are approved.
- 2.2 A number of additional performance Indicators have been proposed and are listed below:
- Number of anti-social incidents reported to Council
  - Number of customers contacting through webchat
  - Average call waiting times.
- 2.3 The following performance indicators have been deleted, as they are no longer considered relevant for monitoring purposes at a strategic level and at a strategic level, and instead will be monitored as part of departmental service targets if required.
- Percentage of vacant properties along the high street
  - Level of All Crime across Gedling Borough rate (per 1000 population)
  - Level of recorded anti-social behaviour across Gedling Borough (per 1000 population).
- 2.4 The targets have been reviewed and in most cases remain the same to ensure that performance is maintained. In relation to the performance indicators which have continually exceeded targets or where growth is anticipated an increased target is proposed and these are listed below:
- Number of visits to leisure centres
  - Number of people on the swim scheme
  - Number of DNA members
  - Number of affordable homes delivered (gross)
  - Percentage of household waste sent for reuse, recycling and composting
  - Residual household waste per household in Kg
  - Number of long term empty homes in the Borough returned to use as a result of Gedling Borough Council intervention
  - Number of Private sector households where Housing Act Cat 1 or Cat 2 have been remediated
  - Number of attendances - Bonington Theatre
  - % of customers that are satisfied with overall customer service
  - Number of social media followers.
- 2.5 In relation to the following performance indicator a reduced target is proposed to reflect the revised annual local housing need figure for Gedling is justified in the published 5 Year Land Supply Assessment 2023.
- Net additional homes provided.

- 2.6 Members will note that these performance indicators contain a wide range of measures which are predominantly focused on outward facing priorities and which will be reported quarterly or annually or used for tracking purposes. Service Plans will capture the key actions for each service area.
- 2.7 Progress against these performance indicators will be reported to Cabinet on a quarterly basis and Overview and Scrutiny Committee as requested and reports published on the Council's website in the usual way.

### **3. Alternative Options**

Not to approve performance indicators for 2024/25. However, without performance information it will be difficult to assess the Council's performance against the Gedling Plan.

### **4. Financial Implications**

There are no financial implications arising from this report.

### **5. Legal Implications**

There are no legal implications arising from this report.

### **6. Equalities Implications**

There are no equalities implications arising from this report.

### **7. Carbon Reduction/Environmental Sustainability Implications**

There are no carbon reduction/environmental sustainability implications arising from this report.

### **8. Appendices**

Appendix 1: Performance Indicators and Targets for 2024/25.

### **9. Background Papers**

There are no background papers.

### **10. Reasons for Recommendations**

To set service targets to ensure that performance is maximised for the benefit of residents and service users of the borough.

**Statutory Officer approval****Approved by:**

Monitoring Officer

**Date:**

14 March 2024


**Approved by:**

Chief Financial Officer

**Date:**

14 March 2024

**Performance Indicators – 2024/25 - Targets**






ECONOMY							
Description	Service Area	Frequency	Current Performance	Target 23/24	Target 24/25	Change	Notes
% occupancy rate of Council commercial units (Li408)	Regeneration and Welfare	Annual	New	90%	90%		
Number of adult or college-age work experience placements provided over the year, including internships	Human Resources, Performance and Service Planning	Annual	5 (2022/23)	Tracker	5		Combined of two previous indicators and changed from tracker only
COMMUNITY							
Description	Service Areas	Frequency	Current Performance	Target 23/24	Target 24/25	Change	HofS Notes
Average length of time spent in temporary accommodation (Li086)	Regeneration and Welfare	Quarterly	22.7 weeks (April to December) 22.4 weeks (Q3)	Tracker	Tracker		

## COMMUNITY

Description	Service Areas	Frequency	Current Performance	Target 23/24	Target 24/25	Change	HofS Notes
Number of nights spend in B&B (TA) (Li409)	Regeneration and Welfare	Annual	New	3,800	Not to exceed end of year figure for 2023/24		
Total number of family households in B&B at the end of the month (Li410)	Regeneration and Welfare	Quarterly	11.4 days (April to December) 13.7 (Q3)	New	Tracker		
Average time to process new HB Claims (Li074)	Regeneration and Welfare	Quarterly	13.7 days (April to December) 12.0 days (Q3)	15 days	15 days	↔	
Average time to process HB change in circumstances (Li075)	Regeneration and Welfare	Quarterly	4.6 days (April to December) 2.7 days (Q3)	5 days (up from 4 (21/22))	5 days	↔	
Number of school-age work experience placements hosted in Gedling Borough (Li363)	Human Resources, Performance and Service Planning	Quarterly	16 (22/23)	Tracker	4		Changed from tracker only



## COMMUNITY

Description	Service Areas	Frequency	Current Performance	Target 23/24	Target 24/25	Change	HofS Notes
Number of visits to leisure centres (Li027)	Communities and Leisure	Quarterly	836,635 (April to December)	1,060,000	1% growth on this year's outturn		
Number of people on the swim scheme (Li379)	Communities and Leisure	Quarterly	3,883 - Q3	3,800	4,100		
Number of attendances - Bonington Theatre (LI027f)	Communities and Leisure	Quarterly	34,021 (April to December)	40,600	1% growth on this year's outturn		
Number of DNA members (Li085)	Leisure Services	Quarterly	4,088 – Q3	4,125	4,300		
Number of activities undertaken in our Parks including those that take place on Council owned sports pitches. (HEAi1)	Environment	Annual	834(April to December)	1,200	Tracker		
Number of affordable homes delivered (gross) (Ni155)	Development and Place	Quarterly	118 (April to December)	60	75		

## PLACE

Description	Service Area	Frequency	Current Performance	Target 23/24	Target 24/25	Change	HofS Notes
Percentage of food premises scoring 4 or 5 in the food, health and safety rating scheme (Li276)	Environment	Quarterly	96% - Q3	95%	95%	↔	
Number of litter and dog fouling Fixed Penalty Notices (FPN) served (Li107)	Environment	Quarterly	37 (April to December)	Tracker	Tracker		
Percentage of fly tipping incidents removed within 10 working days (Li346)	Environment	Quarterly	98.2% (April to December) 96.8% (Q3)	98%	98%	↔	
Number of reported fly tipping incidents (Li133)	Environment	Quarterly	925 – April to December	Tracker	Tracker		
Number of successful fly tipping and duty of care prosecutions (COMi8)	Environment	Annual	14 – (April to December)	Tracker	Tracker		
Number of Green Flag status parks (ENVi1)	Environment	Annual	5 (2022/23)	4	4	↔	Bestwood Country Park returned to County Council





## PLACE

Description	Service Area	Frequency	Current Performance	Target 23/24	Target 24/25	Change	HofS Notes
Percentage of household waste sent for reuse, recycling and composting (Ni192)	Environment	Quarterly	37.9% (April to September)	30%	34%	↑	
Residual household waste per household in Kg (Ni191)	Environment	Quarterly	300kg April to September)	600kg	580kg	↑	
Number of garden waste customers (Li371)	Environment	Annual	19,400 (2022/23)	Tracker	Tracker		
Number of trade waste customer ENVi4	Environment	Annual	839 (2022/23)	Tracker	Tracker		
Number of anti-social incidents reported to Council	Environment	Quarterly	New	New	Tracker		
Number of long term empty homes in the Borough returned to use as a result of Gedling Borough Council intervention (LI118)	Environment	Quarterly	74 (April to December) 126 (2022/23)	40	70	↑	

## PLACE

Description	Service Area	Frequency	Current Performance	Target 23/24	Target 24/25	Change	HofS Notes
Number of Private sector households where Housing Act Cat 1 or Cat 2 have been remediated (Li314)	Environment	Quarterly	69 (April to December) 64 (2022/23)	20	50		
Net additional homes provided (NI154)	Development and Place	Quarterly	483(April to December) 689 (2022/23)	497	463		The revised annual local housing need figure for Gedling is justified in the published 5 Year Land Supply Assessment 2023
Percentage of Major planning applications processed within 13 weeks (NI157a)	Development and Place	Quarterly	100% (April to December) 100%(Q3)	92%	92%		
Percentage of minor planning applications processed within 8 weeks (Ni157b)	Development and Place	Quarterly	78.4% (April to December) 80.0%(Q3)	86%	86%		
Percentage of other planning applications within 8 weeks (Ni 157c)	Development and Place	Quarterly	87.3% (April to December) 94.7%(Q3)	80%	80%		

## COUNCIL

Description	Service Area	Frequency	Current Performance	Target 23/24	Target 24/25	Change	Notes
% of calls to the contact centre answered (Li052)	Governance and Customer Services	Quarterly	96% (January to December)	94%	94%		
% of customers that are satisfied with overall customer service (Li252)	Governance and Customer Services	Annual	90.2% (2022/23)	94%	95%		Increasing slightly to improve services further.
Number of customers attending outreach hubs (Li411)	Governance and Customer Services	Quarterly	561 (April to December)	Tracker	Tracker		
Number of customers contacting through webchat (New)	Governance and Customer Services	Quarterly	New	New	Tracker		New – to assess take up of function
Average call waiting times (New)	Governance and Customer Services	Quarterly	New	New	Tracker		New to assisting in set targets for performance next year
Number of social media followers (Li250)	Communications	Annual	46,570 (2022/23)	43,000	44,000		
Number of Keep Me Posted subscribers (Li321)	Communications	Annual	50,000 (2022/23)	46,000	46,000		

## COUNCIL

Description	Service Area	Frequency	Current Performance	Target 23/24	Target 24/25	Change	Notes
Percentage of invoices paid within 30 days (Li018)	Finance and ICT	Quarterly	98.5% (April to December) 98.9% (Q3)	99%	99%	↔	
Percentage of Council Tax collected (Li016)	Finance and ICT	Quarterly	81.5% against target of 82.7% (April to December)	98.5%	98.5%	↔	
Percentage of Business Rates collected (Li017)	Finance and ICT	Quarterly	82.4% against a target of 82.3% (April to December)	98.9%	98.9%	↔	
Working Days Lost Due to Sickness Absence (rolling 12 Month total) (Li006)	Human Resources, Performance and Service Planning	Quarterly	10.1 days (Rolling year to December)	9 days	9 days	↔	



## Report to Cabinet

**Subject:** Local Development Scheme

**Date:** 28<sup>th</sup> March 2024

**Author:** Planning Policy Manager

### Wards Affected

Borough-Wide

### Purpose

This report is to seek approval of the revised Local Development Scheme appended to this report as Appendix A and agree that it shall come into effect on 1<sup>st</sup> April 2024.

### Key Decision

This is not a Key Decision.

### Recommendation(s)

#### THAT:

- 1) Cabinet approves the revised Local Development Scheme appended to this report as Appendix A and agrees that it shall come into effect on 1<sup>st</sup> April 2024.

## 1 Background

- 1.1 The Council is required by s.15 of the Planning and Compulsory Purchase Act to prepare and maintain a Local Development Scheme to set out the timetable for preparing the Council's Local Plan. The existing Local Development Scheme was prepared in January 2019 and covers the preparation of the Aligned Core Strategy (part 1 of the Council's

Local Plan) and the Local Planning Document (part 2 of the Council's Local Plan) which are now adopted.

- 1.2 Given the requirement to undertake a review of the Council's Local Plan, the Local Development Scheme has been updated and is attached as Appendix A. The revised Local Development Scheme will be made available on the Council's website.
- 1.3 The principle of reviewing the Core Strategies covering Greater Nottingham was agreed by the Greater Nottingham Joint Planning Advisory Board in December 2017 and the intention to commence a review of the Local Plan, commencing with the review of the Core Strategy was noted by Gedling Borough Council in January 2019. The updated Authority Monitoring Report is attached as **Appendix A**.
- 1.4 When adopted, the Greater Nottingham Strategic Plan will replace the Aligned Core Strategy and form part 1 of the Council's Local Plan. The timetable and milestones included in the Local Development Scheme reflect those agreed with the other plan making authorities - Broxtowe Borough Council, Nottingham City Council and Rushcliffe Borough Council.
- 1.5 It is acknowledged by the participating authorities that the timetable is ambitious and may be challenging to achieve, particularly in light of ongoing planning reform including through the Levelling Up and Regeneration Act. However, it is important to get a Local Plan in place as soon as possible given the deadline of July 2025 for submitting a local plan under the current system. It also signals that the councils are committed to getting a new strategic plan in place for Greater Nottingham as soon as practicable.

## **2 Proposal**

- 2.1 To ask Cabinet to approve the revised Local Development Scheme appended to this report as Appendix A and agree that it shall come into effect on 1<sup>st</sup> April 2024.

## **3 Alternative Options**



- 3.1 Not to specify a date upon which the revised Local Development Scheme will come into effect. The production and bringing into effect of a Local Development Scheme is a statutory requirement and the existing document is out of date.

#### **4 Financial Implications**

- 4.1 There are no costs associated with the approval of the Local Development Scheme. There will be cost implications arising from policy preparation relating to the preparation of updated evidence and the examination stage. However, it is intended that evidence will be prepared in house where possible and any costs will be shared across the participating authorities.

#### **5 Legal Implications**

- 5.1 The Council is required by s.15 of the Planning and Compulsory Purchase Act to prepare and maintain a Local Development Scheme to set out the timetable for preparing the Council's Local Plan.

#### **6 Equalities Implications**

- 6.1 The Local Development Scheme sets out a timetable for preparing the Council's Local Plan and does not in itself impact on equalities. An Equalities Impact Assessment will be undertaken on the Council's policies through the assessment of the adopted version of the Local Plan.

#### **7 Carbon Reduction/Environmental Sustainability Implications**

- 7.1 The Local Development Scheme sets out a timetable for preparing the Council's Local Plan and does not in itself impact on carbon reduction/environmental sustainability. Sustainability Appraisal is a legal requirement of plan preparation in order to consider economic, social and environmental objectives, to fulfil the requirements of the Planning and Compulsory Purchase Act (2004), and the requirements of the EU Strategic Environmental Assessment Directive transposed in the UK by the Environmental Assessment of Plans and Programmes Regulations 2004. Local Plan.

## **8 Climate Impact Assessment**

- 8.1 The Council has taken the ambitious path of becoming net zero by 2030 and the impact of the publication of the Local Development Scheme has been considered through a Climate Impact Assessment appended to this report at Appendix B.

## **9 Appendices**

- 9.1 Appendix A – Gedling Borough Local Development Scheme 2024-2027  
Appendix B – Climate Impact Assessment

## **9 Background Papers**

- 9.1 None

## **10 Reasons for Recommendations**

- 10.1 An up to date Local Development Scheme is required to set out the timetable for the preparation of the review of the Local Plan, commencing with the Greater Nottingham Strategic Plan.

### **Statutory Officer approval**

**Approved by:**

**Date:**

**On behalf of the Chief Financial Officer**

**Approved by:**

**Date:**

**On behalf of the Monitoring Officer**

## **GEDLING BOROUGH COUNCIL**

### **GEDLING BOROUGH LOCAL DEVELOPMENT SCHEME 2024 - 2027**

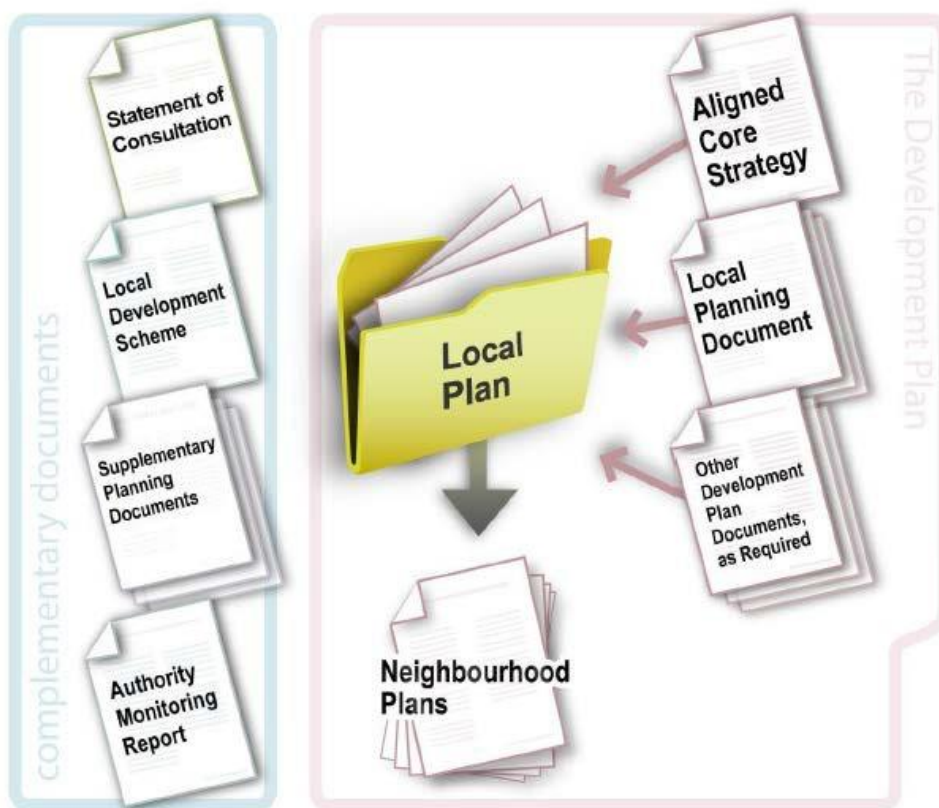
**January 2024**

## INTRODUCTION

- 1 Legislation set out in the Planning and Compulsory Purchase Act 2004 requires the Council to prepare and maintain a Local Development Scheme (LDS). This document is the revised LDS for Gedling Borough Council which will replace the existing Gedling Borough LDS approved in November 2019. The National Planning Policy Framework requires local planning authorities to review their local plans at least once every five years. This new LDS covers the period 2024/25 – 2027/28 to incorporate the review of the Gedling Borough Aligned Core Strategy which forms Part 1 of the Local Plan.
- 2 This new LDS also refers to the review of the Part 2 Local Plan namely the Local Planning Document which was adopted in 2018.
- 3 The Local Plan consists of: development plan documents and may include a core strategy, development management policies and other site specific development plan documents. Development proposals should be determined in accordance with the Local Plan unless there are material considerations that indicate otherwise.
- 4 Neighbourhood Plans introduced in 2011 also form part of the Local Plan for the area they cover once they have been subject to a positive result at a referendum. To date the following neighbourhood plans have become part of the Local Plan:
  - Calverton Neighbourhood Plan (Nov 2017);
  - Papplewick Neighbourhood Plan July 2018);
  - Burton Joyce Neighbourhood Plan (Nov 2018); and
  - Linby Neighbourhood Plan (May 2019).
- 5 As of January 2024 the Local Plan comprises:
  - Aligned Core Strategy 2014 (Part 1 Local Plan)
  - Local Planning Document 2018 (Part 2 Local Plan)
  - Burton Joyce Neighbourhood Plan
  - Calverton Neighbourhood Plan
  - Linby Neighbourhood Plan
  - Papplewick Neighbourhood Plan
- 6 Documents which support the Local Plan include:
  - Local Development Scheme – the timetable for the preparation of local development plans;
  - Statement of Community Involvement– sets out the Council’s approach to engaging with local communities during plan preparation and when consulting on planning applications; and

- Authority Monitoring Report – sets out the progress in terms of producing development plan documents and implementing policies.
- 7 The Local Plan will also include a Policies Map which illustrates the geographic extent of policies and proposals on a map base.
- 8 The individual documents making up the Local Plan are shown diagrammatically below:

**Figure 1 Local Plan** (note that following adoption of the Greater Nottingham Strategic Plan, this will replace the Aligned Core Strategy).



## **The Review of the Part 1 Local Plan**

- 9 Gedling Borough along with Broxtowe Borough and Nottingham City Councils adopted the Aligned Core Strategies in 2014. Erewash Borough and Rushcliffe Borough adopted separate but aligned Core Strategies in 2014.
- 10 Preparation of the Greater Nottingham Strategic Plan is underway with the aim being for Broxtowe Borough, Gedling Borough, Nottingham City and Rushcliffe Borough Councils to prepare aligned core strategies covering the period 2022 – 2041. In the summer of 2020 and early 2021 the Councils consulted on the Greater Nottingham Strategic Plan Growth Options document under Regulation 18 of the Town and Country Planning (Local Planning) (England) Regulations. The Greater Nottingham Strategic Plan: Preferred Approach was subject to consultation in early 2023 and a further specific consultation on the Distribution and Logistics Preferred Approach in autumn 2023. The subject matter to be contained in the Greater Nottingham Strategic Plan is set out in **Appendix 1** below together with a timetable.
- 11 Once adopted the Greater Nottingham Strategic Plan will replace the adopted Aligned Core Strategy 2014 which forms Part 1 of the Local Plan.

## **The Review of the Part 2 Local Plan**

- 12 The Local Planning Document 2018 forms Part 2 of the Local Plan and conforms to the Aligned Core Strategy. The Local Planning Document includes non-strategic site specific allocations and development management policies. The Greater Nottingham Strategic Plan will set out a new strategic planning framework for the future detailed planning of the area. As the Part 2 Local Plan must conform to the Part 1 Local Plan, it is proposed to commence the preparation of the evidence base to support the review of the Local Planning Document over the period covered by this new LDS. The scope of the review of the Local Planning Document is set out in **Appendix 2**. As the review of the Local Planning Document is dependent on the progress with the Greater Nottingham Strategic Plan the timetable cannot be specified at this stage.

## **Statement of Consultation**

- 13 Gedling Borough Council adopted its Statement of Community Involvement in September 2019 to coincide with the preparation of the Greater Nottingham Strategic Plan. The Borough Council is committed to engaging with the local community on planning issues and this document sets out how and when the community will be consulted in the preparation of planning policy documents and also on planning applications.

## **Supplementary Planning Documents**

- 14 Councils may also produce Supplementary Planning Documents to give further guidance on their adopted policies. Supplementary Planning Documents may cover a range of issues, which may be either thematic (e.g. affordable housing or open space provision) or site specific (e.g. development briefs for allocations). It is not necessary for Supplementary Planning Documents to be covered in the LDS. However, these documents are subject to Member approval and will also be subject to public consultation as set out in the Statement

of Community Involvement.

### **The Proposals Map**

- 15 As the Local Plan is adopted, the coverage of new policies and site-specific proposals will be included on a new composite Adopted Proposals Map.

### **Sustainability Appraisal and Strategic Environmental Assessment**

- 16 Both the emerging Greater Nottingham Strategic Plan and review of the Local Planning Document are subject to an ongoing process of Sustainability Appraisal, which will incorporate the requirements for Strategic Environmental Assessment. This will inform the direction and content of each stage of the plan preparation process. The information used and the outcome of the appraisal process will be set out in an 'environmental report', which will accompany each development plan document. The timetable for this work will therefore run in parallel with each of the stages of plan preparation.

### **Equality Impact Assessment**

- 17 Councils are also required by legislation to prepare an Equality Impact Assessment to make sure policies in the Local Plan do not discriminate against certain groups and that opportunities are taken to promote equality.

### **FURTHER INFORMATION**

- 18 For further information on this Local Development Scheme please contact the Council at the address shown below. Information on adopted and emerging Local Plan is also available on the Council's website.

By post: Gedling Borough Council  
Planning Policy  
Civic Centre  
Arnot Hill Park  
Arnold  
Nottingham  
NG5 6LU

By E-mail: [planningpolicy@gedling.gov.uk](mailto:planningpolicy@gedling.gov.uk)

Website: [www.gedling.gov.uk](http://www.gedling.gov.uk)

## APPENDIX 1

<b>Title</b>	<b>Greater Nottingham Strategic Plan</b>
Role and content	The Greater Nottingham Strategic Plan will contain strategic planning policies covering the following: <ul style="list-style-type: none"> <li>• Settlement hierarchy</li> <li>• Housing strategy</li> <li>• Employment strategy</li> <li>• Retail centres strategy</li> <li>• Green infrastructure strategy</li> <li>• Transport strategy</li> <li>• Strategic site allocations</li> </ul>
Status	Development Plan Document
Conformity with	Consistent with national planning policy
Geographic coverage	Gedling Borough.

<b>Stage</b>	<b>Dates</b>
Starting Evidence Base	September 2018
<b>Consultation on SA scoping report</b>	June 2019
Consultation on Growth Options	July 2020 and Feb 2021
Consultation on Preferred Approach	Dec 2022 and Sept 2023
Draft Publication Consultation	June 2024
<b>Publication of Submission Document</b>	Dec 2024
Independent Examination Hearings (if required).	Jan 2025
Receipt of Inspector's Report	Dec 2025
<b>Adoption</b>	Spring 2026
Post production (monitoring and review mechanisms)	Ongoing

Organisational Lead	Planning Policy Manager
Political Management	Executive and Full Council
Internal Resources	Planning Policy Section, with technical, legal and administrative support from other teams as needed (including Development Management)
External Resources	Legal advice if required, outsource hardcopy printing
Community and Stakeholder involvement	Informal and formal public consultation as set out in the Statement of Community Involvement.



## APPENDIX 2

### The Gedling Borough Local Planning Document Review

Title	<b><i>The Gedling Borough Local Planning Document Review</i></b>
Role and content	Development Management - A suite of criteria based policies which are required to ensure that all development within the area meets the vision and strategy set out in the Aligned Core strategy  Site Specific Allocations - Identification of land for specific uses/policies and criteria based policies for potential unforeseen proposals
Status	Development Plan Document
Conformity with	Consistent with national planning policy, the Aligned Core Strategy and Sustainable Community Strategy.
Geographic coverage	Gedling Borough.

#### Timetable and milestones (key milestones are in bold italics)

Stage	Dates
Starting Evidence Base	TBC
<b><i>Consultation on SA scoping report</i></b>	
Consultation on Issues and Options	
Informal Consultation on Policy Options	
<b><i>Publication of Submission Document</i></b>	
<b><i>Submission of document and sustainability appraisal to Secretary of State</i></b>	
Independent Examination Hearings (if required).	
Receipt of Inspector's binding report	
<b><i>Adoption</i></b>	
Post production (monitoring and review mechanisms)	

#### Arrangements for production

Organisational Lead	Planning Policy Manager
Political Management	Executive and Full Council
Internal Resources	Planning Policy Section, with technical, legal and administrative support from other teams as needed (including Development Management)
External Resources	Legal advice if required.
Community and Stakeholder involvement	Informal and formal public consultation as set out in the Statement of Community Involvement.

## THE PROPOSALS MAP AND INSET PLANS

<b>Title</b>	<b><i>The Proposals MAP and Inset Plans</i></b>
Role and content	To map development plan policies
Status	Development Plan Document
Conformity with	The proposals map will conform to the adopted Local Plan.
Geographic coverage	Whole borough with detailed Inset Plan coverage of those parts of the borough affected by specific policies or proposals.

### Timetable

<b>Stage</b> (Revised where necessary as each DPD adopted. Submission proposals map submitted with DPD to identify how the adopted proposals map will be amended or added to)	<b>Dates</b>
Local Planning Document	

### Arrangements for production

Organisational Lead	Planning Policy Manager
Political Management	Executive and Full Council
Internal Resources	Planning Policy Section, with technical, legal and administrative support from other teams as needed.
External Resources	Legal advice if required.
Community and Stakeholder involvement	Previous involvement in site specific consultations.

Name of project, policy, function, service or proposal being assessed:	Gedling Borough Local Development Scheme 2024-2027			
The main objective of (Gedling Borough Local Development Scheme):	The Planning and Compulsory Purchase Act 2004 requires the Council to prepare and maintain a Local Development Scheme which is a project plan setting out the timescales for the preparation of planning documents to be prepared.			
What impact will this (Gedling Borough Local Development Scheme 2024 - 2027) have on the following:				
Category	Negative	Positive	No impact/ Negligible change	Mitigation/ Comments
Behaviour & Culture Change		Positive impact		LDS will confirm the timing of the publication of the development plan which will allow for the increase in awareness of climate change through communication and engagement through working with the Greater Nottingham Partnership and publication of GNSP.

				The strategy and individual policies in the GNSP (specifically Policy 1 Climate Change) present a cross cutting approach across a range of policy topics.
<b>Built Environment</b>		Positive impact		LDS will confirm the timing of the publication of policy support for sustainable construction and design and make allowances for adaptation to future changes in climate.
<b>Transport</b>		Positive impact		LDS will confirm the timing of the publication of policies encouraging active travel through the integration of land use and travel and reduce reliance on the car. The Infrastructure Delivery Plan confirms infrastructure requirements.



<b>Energy, Natural Resources &amp; Climate Change</b>		Positive impact.		<p>LDS will confirm the timing of the publication of policies encouraging renewable and low carbon energy schemes appropriate for the plan area. Development should not increase the risk of flooding and Sustainable Drainage Systems will be incorporated into all new development.</p> <p>Policy support is provided to working towards Future Home Standards by 2025 and facilitated the delivery of zero carbon homes.</p>
<b>Waste Reduction &amp; Recycling</b>				<p>LDS will confirm the timing of the publication of policies encouraging the reduction in energy demand through waste minimisation and use of recycled materials.</p>

<b>Blue-Green Infrastructure/Biodiversity</b>		Positive impact		LDS will confirm the timing of the publication of policies encouraging developments to integrate with existing blue and green infrastructure networks on sites.
<b>Procurement &amp; Purchasing</b>			No impact	
In response to the information provided above please provide if there is any proposed action including any consultation that is going to be carried out				
Planned Actions	Timeframe	Potential Outcome	Responsible Officer	
Greater Nottingham Strategic Plan Publication Draft Consultation	June 2024	Submission for independent examination	Planning Policy Manager	

### Authorisation and Review

<b>Completing Officer</b>	
<b>Authorising Head of Service/Director</b>	

<b>Date</b>	
<b>Review date ( if applicable)</b>	





## Report to Cabinet

**Subject:** Corporate Peer Challenge Progress Review and Action Plan

**Date:** 28 March 2024

**Author:** Chief Executive

### Wards Affected

Borough-wide.

### Purpose

For Cabinet to consider the Corporate Peer Challenge Progress Review Report and to approve a new Corporate Peer Challenge Action Plan.

### Key Decision

This is not a key decision.

### Recommendation

#### THAT CABINET:

1. Considers the Corporate Peer Challenge Progress Review Report.
2. Approves the new Corporate Peer Challenge Action Plan.

## 1 Background

- 1.1 All Councils who are members of the Local Government Association are expected to receive a Corporate Peer Challenge at least every five years. Gedling Borough Council undertook an LGA Corporate Peer Challenge from 21 to 23 June 2022. This was reported to Cabinet on 8 December 2022 alongside a detailed Action Plan.
- 1.2 A Peer challenge provides robust, strategic, and credible challenge and support to councils, by bringing together political and managerial leadership through the use of member and officer peers.
- 1.3 Peer challenge is a tried, tested and trusted tool. It is not an inspection. It is a tool for improvement, providing opportunities for councils to learn from colleagues in other local authorities. The 'peer team' act as 'critical friends', bringing knowledge and expertise from their respective organisations, gathering information from a range of sources, and then reflecting on and challenging performance in the areas the council has asked to be reviewed.

- 1.4 The peer team undertook a Progress Review on 22 November 2023 and focussed on each of the previous nine recommendations. Two of the original team members were involved in this Progress Review, being the lead member and the LGA associate, who were supported by the LGA's Progress Review Manager. The team prepared by reviewing a range of documents and information provided to them in advance of the on-site visit.
- 1.5 The peer team met key GBC colleagues via a series of hybrid meetings throughout the day, ending with some informal feedback. This was followed up with a draft Progress Review report with key recommendations. The Council was afforded the opportunity to comment on the draft Progress Review report before it was finalised in the version appended to this report.

1.6 The Progress Review Report

The previous nine key recommendations are set out below:

1. Reset GBC's ways of working;
2. Establish a clear strategy for income generation and cost recovery alongside funding bids;
3. Consider comprehensive customer centred approach to transforming service delivery, and what resources and technology are needed;
4. Invest to save: good IT systems improve efficiency;
5. Consider imaginative ways to increase capacity;
6. Build up programme and project management capacity;
7. Widen member engagement, particularly through scrutiny;
8. Use strategic risks and the Corporate Risk register as part of the corporate planning process;
9. Widen partnership engagement to include businesses, LEP and Combined Authority discussions.

The peer review team recognised the significant progress the Council had already made against these nine recommendations, and their detailed overview of their observations and recommendations is set out in the Progress Review report attached at Appendix 1. In addition, the peer team had some key overall observations:

- ✓ The role of strong dual leadership – political and operational – throughout the council is key.
- ✓ GBC should develop and define its place-based vision for the borough.
- ✓ The Council should also be culturally more brave, open to and support innovation.

- 1.7 The new Peer Review Action Plan (Appendix 2) sets out the Council's further response to the key recommendations made.

## **2 Proposal**

- 2.1 Cabinet is asked to consider the Corporate Peer Challenge Progress Review Report and to approve the new Corporate Peer Challenge Action Plan.

## **3 Alternative Options**

- 3.1 Members could choose not to consider the Corporate Peer Challenge Progress Review Report and to not approve the new Corporate Peer Challenge Action Plan, however this process is seen as best practice conducted by respected peers and local authority colleagues.

## **4 Financial Implications**

- 4.1 There are no financial implications arising from this report. Any financial impacts arising from the plan will be considered separately as actions are developed.

## **5 Legal Implications**

- 5.1 There are no legal implications arising from this report. There is no statutory requirement to undertake a peer review, however it is considered best practice.

## **6 Equalities Implications**

- 6.1 There are no equalities implications arising from this report.

## **7 Carbon Reduction/Sustainability Implications**

- 7.1 There are no carbon reduction/sustainability implications arising from this report.

## **8 Appendices**

- 8.2 Appendix 1: LGA Corporate Peer Challenge Progress Review Report.  
Appendix 2: Corporate Peer Challenge New Action Plan.

## **9 Background Papers**

- 9.1 None.

## **10 Reasons for Recommendations**

- 10.1 A peer challenge presents opportunities for councils to receive endorsements from other local authorities about how well services are being delivered but also to learn how things could be done differently to best meet the needs of the Council and the wider community.

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# **LGA Corporate Peer Challenge – Progress Review**

Gedling Borough Council

Wednesday 22 November 2023

Feedback



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# 1. Introduction

The council undertook an LGA Corporate Peer Challenge (CPC) from 21 to 23 June 2022 and promptly published the full report with an action plan.

The Progress Review is an integral part of the CPC process. Typically taking place approximately ten months after the CPC, it is designed to provide space for the council's senior leadership to:

- update peers on the early progress made and receive feedback on this including how the action plan aligns to the CPC's recommendations
- consider peers' reflections on any new opportunities/challenges that may have arisen since the peer team were onsite including any further support needs
- discuss any early impact or learning from the progress made to date.

The LGA would like to thank Gedling Borough Council (GBC) for its commitment to sector-led improvement and its honesty, openness and self-awareness throughout its discussions with the peer team. GBC clearly has willingness and drive through their comprehensive action plan to progress the peer team's nine key recommendations to full effect. This Progress Review is therefore just the next step in this ongoing, open and close relationship between GBC, the LGA and its sector support.

## 2. Summary of the approach

The Progress Review at GBC took place on Wednesday 22 November 2023 and focussed on each of the previous CPC's recommendations:

1. reset Gedling Borough Council's ways of working
2. establish a clear strategy for income generation and cost recovery alongside funding bids
3. consider comprehensive customer centred approach to transforming service delivery, and what resources and technology are needed
4. invest to save; good IT systems improve efficiency
5. consider imaginative ways to increase capacity
6. build up programme and project management capacity
7. widen member engagement, particularly through scrutiny

8. use strategic risks and the corporate risk register as part of the corporate planning process
9. widen partnership engagement to include businesses, LEP and Combined Authority discussions.

The following original CPC team members were involved in this Progress Review:

- Cllr Philip Bialyk, Leader of the Council, Exeter City Council
- Alan Goodrum, LGA Associate, former Chief Executive, Chiltern and South Bucks Councils.

Vicki Goddard was the LGA's Progress Review Manager.

The peer team met key GBC colleagues via a series of hybrid meetings on Wednesday 22 November 2023. Cllr Bialyk attended online, and Alan Goodrum and Vicki Goddard were at the council with:

- Cllr John Clarke, Leader of the Council
- Cllr Michael Payne, Deputy Leader, and Portfolio Holder for Corporate Resources and Performance
- Mike Hill, Chief Executive.

### 3. Progress Review – Feedback

As well as the feedback below on each of its previous CPC's main recommendations, the peer team had some key, overall observations:

- the role of strong, dual leadership – political and operational - throughout the council is key. Such working relationships between the Leader of the Council and the Chief Executive, based on mutual respect and support, are helping to ensure the council is working well politically, strategically and operationally. The Leader and Chief Executive should further strengthen these links with cabinet and other councillors, the senior management team and the wider workforce. This is particularly to ensure GBC maximises opportunities to influence developing sub-regional agenda, for example those of the East Midlands Mayoral Combined Authority (EMMCA) and the Greater Nottingham Strategic Partnership
- GBC should develop and define its place-based vision for the borough and its



- own strategic stature with local partners as part of this sub-regional work
- the council should also be culturally more brave, open to and support innovation – not just technology but using council space differently and working with partners in new ways for example as outlined below.

## **1. Reset Gedling Borough Council's ways of working**

Further to its CPC in 2022, GBC introduced a 40 per cent officer attendance rate – two days a week in the office - from June 2023. This factored in GBC's staff travelling profiles and patterns, and has been broadly implemented and welcomed by staff.

A recent survey identified that most staff understand the need to be in the office on this basis but the council recognises that resetting ways of working is about far more than office attendance. It is also about making the best use of council buildings and supporting its staff – especially as many are already regularly working at full capacity, with potential to over-stretch them, for example through sickness absence increases. As part of this, GBC has audited its buildings to identify what space could be better used. The council also knows that its residents, other customers and councillors want to see more GBC staff face to face.

The peer team therefore discussed opportunities for GBC to consider where and how to best deploy staff to meet stakeholders' needs. This includes whether to increase officer attendance at GBC's community hubs and/or at the main council building, depending where customers need to meet staff. It could be counterproductive for example to increase attendance in the main building if that meant additional travel for customers within those office hours, which might not be possible. Other aspects of resetting GBC's ways of working to support staff are covered elsewhere in this report.

## **2. Establish a clear strategy for income generation and cost recovery alongside funding bids**

GBC has undertaken various work in this area. This includes drafting a corporate charging strategy, running a fee setting legal powers workshop to generate and progress ideas, and implementing a litter cleansing charge for one-off events.

Much of this work was paused whilst the Head of Finance and ICT (Information and Communications Technology) post, including the Section 151 role, was vacant. The post has however since been filled, enabling this and other work to progress as a

priority. Capacity is stretched throughout the council though and is not the sole responsibility of the Head of Finance. GBC must therefore ensure all its teams contribute to this agenda from ideas, undertaking relevant training to implementation.

The council's completed leisure services review will play a major part in this income generation and cost recovery strategy. GBC recognises that difficult political decisions need to be made in response to the review's options. This is not only to drive this agenda but also to shape the council's Medium Term Financial Plan (MTFP), for example in terms of capital receipts. The peer team therefore advised that now is as ideal an opportunity as any for GBC to make those difficult decisions, at the beginning of its election cycle after the May 2023 local elections, so that the ruling administration has maximum opportunity to implement those choices.

GBC has also commenced a base budget review as part of its annual budget cycle, which will additionally assist this strategy. This includes a full review of fees and charges, and four notable work strands: 1) disposal of its assets/use of capital receipts, 2) reducing the council's annual £1.9 million subsidy of its leisure centres, 3) making further efficiency savings, and 4) digital transformation.

The peer team heard in the week of its visit how, further to the bidding process, the expected announcement on Levelling Up Round 3 funding was being replaced by a direct award to councils, and that GBC was not included. The council utilises its internal skills for bid writing. These are not specialised enough though to write the same quality of bid that external consultants can. Additionally, the council does not have appropriate levels of resource to commission this expensive work. This gives an unfair advantage to other councils. GBC should therefore explore opportunities through the EMMCA to access this level of specialist expertise as and when required, and otherwise consider how to enhance bid writing skills internally.

The peer team also identified opportunities for GBC to enhance its branding, reputation and influence, as a place and employer of choice, especially as the EMMCA becomes 'live' after the May 2024 elections. The more its residents and other local and neighbouring stakeholders see GBC as quality value for money, the more business, funding, and skills via new recruits it can attract into the council.

### **3. Consider comprehensive customer centred approach to transforming service delivery, and what resources and technology are needed**

As well as the leisure services review, the council has also reviewed alternative service delivery model options for environment, development, economic growth and regeneration frontline services. These reviews have resulted in various changes and further activity, for example to build resilience and improve capacity within services, to explore further shared service options. The EMMCA in particular offers potential for further collaboration, such as using new, joint technology and vehicles across the region to enhance waste collection and disposal services, including clear, joint branding to communicate who does what as part of this approach.

The peer team noted however that there are significant opportunities for GBC to make the most of customer-centric work it has already done, such as its customer outreach, cost of living work, and its customer promise. There are also many related support and development opportunities available through the LGA's latest [transformation programme](#). Together, these opportunities will help ensure further service transformation really puts customers at the core of its approach and responds to their needs, including allocating resources needed to achieve this.

#### **4. Invest to save; good IT systems improve efficiency**

GBC has completed a baseline review of its current IT operations and fitness for purpose. The council has also established an internal voluntary, keen, digital transformation team, which is auditing GBC's IT systems and has a work programme to progress this work. The council is additionally recruiting a lead to develop its IT digital strategy but there is no current budget to progress this work beyond planning. This includes no budget to replace and develop any new IT required. Cultural shift is therefore required politically to financially commit to such 'invest to save' technology, to ensure notable enhancements to service delivery, resilience and capacity. These could for example include IT helping councillors to manage and progress casework, and take the pressure off, and free up staff to undertake other required duties or training such as funding bid writing, enhancing their wellbeing, skills and productivity.

#### **5. Consider imaginative ways to increase capacity**

GBC acknowledges it has been difficult to think differently about how to build capacity, as many avenues have already been used. These include working with community and other partners through annually reviewed formal agreements and

contracts. The council is however culturally open to new ideas, the Head of Communities and Leisure is leading work on place based partnerships with health services, and GBC is exploring partnership working with a nearby council.

The peer team and GBC colleagues discussed however how the council could consider further opportunities with its two local universities beyond their existing agreements, which currently include student internships and paid work. Future opportunities for example include building relationships and collaborating with university staff, offering universities council building space for student, council related start-up businesses and projects such as those relating to green, digital, legal and planning agenda. In turn, such university related collaborative working could assist the council's longer term resilience by making better use of office space, and again, releasing GBC staff to work on other priority council projects, undertake required training, and enhancing their wellbeing, skills and productivity.

## **6. Build up programme and project management capacity**

GBC has used Shared Prosperity Funding to recruit a full-time programme manager. Given the scale of the council's refreshed five-year capital programme however, the peer team noted that more such capacity is required to ensure the whole and future programmes are delivered successfully. The Chief Executive had previously created a project manager position to develop this internal capacity but this has now gone. This means that project management knowledge and skills have reduced over the years. The council recognises however that this needs rectifying as soon as possible, as funding this capacity externally each time for individual projects is costly and reduces opportunities to secure and grow these skills internally. Specialist skills are however sometimes still required, for example an IT digital transformation project manager, but cannot always be provided internally. A balance therefore between the two approaches is required.

## **7. Widen member engagement, particularly through scrutiny**

The council has considerably progressed this recommendation. For example, GBC has planned and implemented a member development working group. This involves councillors of all political groups, and democratic services staff, and is already progressing a proactive work programme. This year's councillor induction programme

has particularly benefitted the many new councillors elected in May 2023's local elections. As a result, they are settling into their roles well. A new councillor newsletter has also been well received. An additional cabinet member has brought fresh ideas, different perspective, demographic balance and a new portfolio to help manage and help inform decisions and work programmes.

GBC needs however to monitor and develop this work to ensure it continues to make a positive difference. The peer team heard for example about training needs already identified to help various councillors further understand and progress their work and roles. The overview and scrutiny function could benefit from development sessions to ensure it fully utilises its role to best support cabinet decision making on behalf of the council, sessions the LGA can easily offer. GBC recognises it should also monitor the positive differences made via, and seek feedback on, the new councillor newsletter. This will ensure it is not just an output but leads to improved outcomes, such as enhanced engagement with, and ideas from councillors to further inform GBC's work.

#### **8. Use strategic risks and the corporate risk register as part of the corporate planning process**

GBC has enhanced its approach to reporting risk to its audit, and overview and scrutiny committees, and is organising refresher training for managers, and training for cabinet members. Service plans and managers now link to and address corporate risk register mitigations through the council's performance management systems. Some of this work could not progress fully due to the previous Head of Finance and ICT vacancy but should progress now that this appointment has been made. In turn, this should release the Chief Executive from his work in this area.

Whilst councillors are aware of the strategic risks, the peer team suggests more work is needed to ensure cabinet owns and challenges them with service managers at strategic performance management level. The basics however – the principles, mechanisms including performance management and training – are there. So GBC just needs to build on the momentum it has already created around this work to ensure corporate risks are genuinely managed by cabinet.

#### **9. Widen partnership engagement to include businesses, LEP and Combined**

### **Authority discussions.**

GBC fully supports the EMMCA devolution deal, and has produced its 'benefits package' and 'corporate ask' to the EMMCA and its future directly elected mayor.

The peer team can see opportunities however for GBC to enhance its place leadership role as part of the EMMCA. This will ensure the council doesn't just ask but influences and persuades the EMMCA and its future mayor of GBC's role and how it can help on behalf of its residents as part of the EMMCA region.

The peer team heard for example how the Leader of the Council has good networks and influence at sub-regional level, for example through the D2N2 (Derby, Derbyshire, Nottingham, Nottinghamshire) Local Enterprise Partnership. He and others at the council should therefore build on this work as the EMMCA, Greater Nottingham Strategic Plan and other sub- and regional agenda develop. Given that GBC has no voting power on the EMMCA, it is even more important for GBC to represent its residents and other key stakeholders' needs and aspirations, and maximise and further develop its influence within these agenda.

Additionally, the council should make the most of the university collaboration opportunities mentioned above as part of building this wider partnership engagement, especially in the context of the EMMCA and the Greater Nottingham Strategic Plan.

## **4. Final thoughts and next steps**

The LGA would like to thank GBC for undertaking an LGA CPC Progress Review.

We appreciate that senior managerial and political leadership will want to reflect on these findings and suggestions to determine how GBC wishes to progress things.

Under the umbrella of LGA sector-led improvement, there is an on-going offer of support to councils. The LGA is well placed to provide additional support, advice and guidance on a number of the areas identified for development and improvement in this report – especially regarding scrutiny function development - and we would be happy to discuss this further.

Mark Edgell, Principal Adviser, is the main point of contact between GBC and the LGA and his e-mail address is [mark.edgell@local.gov.uk](mailto:mark.edgell@local.gov.uk).

## **CORPORATE PEER CHALLENGE - NEW ACTION PLAN (POST PROGRESS REVIEW)**

Recommendation	Commentary	Action and Proposed Outcome	Timescale
Reset GBC's ways of working.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- implemented a flexible and agile approach to working based on 2 days in the office as a minimum, but some flexibility is offered to aid recruitment.</li> <li>- Audited the Civic centre in terms of space utilisation.</li> </ul>	<ol style="list-style-type: none"> <li>1. Finalise the office space utilisation review and move teams around to share offices better and create more space for letting.</li> <li>2. Review officer attendance and customer needs at community hubs.</li> </ol>	<p>June 2024</p> <p>June 2024</p>
Establish a clear strategy for income generation and cost recovery alongside funding bids.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- Reviewed fees and charges each year and benchmarked against neighbours and nearest competitors.</li> <li>- Drafted a corporate charging strategy.</li> <li>- Considered further commercial activity but capacity and resilience for any new ventures are a limiting factor.</li> <li>- Commenced a base budget review.</li> <li>- A shortage of specialist bid writing skills, and resource constraints restrict the ability to engage consultants to develop 'on the shelf' projects that would be suitable for new government bidding rounds.</li> <li>- Now completed the work on the strategic leisure review and needs to make decisions over future direction.</li> </ul>	<ol style="list-style-type: none"> <li>1. Introduce corporate charging strategy that sets out the basis of charging for each service i.e surplus, cost-recovery, subsidise. Strategy to include guidance on concessions, discounts and marketing promotions.</li> <li>2. Deliver a more in-depth benchmarking exercise on fees and charges.</li> <li>3. Complete the work on the base budget review.</li> <li>4. Determine the future direction for leisure.</li> </ol>	<p>Revised date of April 2024</p> <p>Revised date of May 2024</p> <p>September 2024</p> <p>May 2024</p>

	<ul style="list-style-type: none"> <li>- A need to enhance its branding, reputation and influence as a place and employer of choice.</li> </ul>	<p>5. Explore opportunities through the EMMCA to access specialist expertise for bid writing skills and internal development.</p> <p>6. Create a marketable brand for the Council.</p>	<p>December 2024</p> <p>June 2024</p>
Consider comprehensive customer centred approach to transforming service delivery, and what resources and technology are needed.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- Tried shared services with limited success, and there are relatively few service contracts that GBC purchases from another authority or vice versa.</li> <li>- Held discussions with other local authorities regarding sharing of services.</li> <li>- Engaged external consultants to undertake a strategic leisure review.</li> <li>- Improved customer outreach through a hub approach in the community.</li> <li>- Adopted a new customer promise.</li> </ul>	<p>1. Look to the EMMCA as a potential for further collaboration of service provision.</p>	<p>September 2024</p>
Invest to save; good IT systems improve efficiency.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- Completed a baseline review of its current ICT operations and fit for purpose.</li> <li>- Recruited a lead to develop its new ICT digital strategy and transformation programme.</li> <li>- Established an internal digital transformation team.</li> </ul>	<p>1. Complete the ICT strategic review and determine services where software is duplicated, or where better alternatives could be employed.</p> <p>2. Explore options for business transformation using ICT as the driver for change.</p>	<p>Revised date of September 2024</p> <p>Revised date of July 2024</p>



		3. Commit to digital and service transformation by approving resources for 'invest to save' projects.	March 2024
Consider imaginative ways to increase capacity.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- A number of partnerships with voluntary bodies through Service Level Agreements.</li> <li>- A focus on the EMMCA to provide greater opportunities to increase capacity.</li> <li>- Looked laterally across other public sector bodies to provide a part solution to this, including working 'smarter' with our community partnerships.</li> <li>- Agreed to contact the two local universities to build relationships and collaboration opportunities.</li> </ul>	1. Build relationships with the two local universities to promote collaboration opportunities for both the Council and local students.	June 2024
Build up programme and project management capacity.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- A Programme Board which tracks progress on projects using project management skills / tools in the delivery of schemes.</li> <li>- Issues around internal capacity, specialist expertise and funding when developing compliant bids that seek Council match-funding.</li> <li>- Created a short-term Programme Manager role through the use of Shared Prosperity Funding.</li> </ul>	<p>1. Upskill staff in bid writing, project and programme management and consider a permanent project manager resource.</p> <p>2. Recognise when external skills are required and procure digital transformation expertise.</p>	<p>August 2024</p> <p>July 2024</p>

Widen member engagement, particularly through scrutiny.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- Delivered a member induction training programme post-election.</li> <li>- Created a new member Development Working Group.</li> <li>- Developed a periodic Councillor newsletter.</li> <li>- Strengthened its Cabinet through adding a new portfolio holder.</li> <li>- Agreed a full programme of work for the Overview &amp; Scrutiny Committee.</li> </ul>	<ol style="list-style-type: none"> <li>1. Develop an ongoing Member training programme.</li> <li>2. Arrange specific training and development for committee members.</li> <li>3. Undertake periodic review of both member training and development, and the success or otherwise of the Councillor newsletter.</li> </ol>	<p>August 2024</p> <p>September 2024</p> <p>November 2024</p>
Use strategic risks and the Corporate Risk register as part of the Corporate planning process.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- An existing Corporate Risk Strategy which is currently being refreshed.</li> <li>- Recently procured new risk management software which is being implemented.</li> <li>- Approved a new Gedling Plan 2024-27 which incorporates strategic risks.</li> </ul>	<ol style="list-style-type: none"> <li>1. Update the Corporate Risk Strategy and refresh the Council's approach to risk management and embed across the organisation.</li> <li>2. Hold a risk management training session with managers and Cabinet members.</li> </ol>	<p>Revised date of April 2024</p> <p>Revised date of July 2024</p>
Widen partnership engagement to include businesses, LEP and Combined Authority discussions.	<p>The Council has:</p> <ul style="list-style-type: none"> <li>- Engaged in the devolution process and fully supports it.</li> <li>- Good networks and influence at sub-regional level through the Leader, Deputy Leader and Chief Executive.</li> <li>- Developed its 'benefits package' and 'corporate ask' for the EMMCA and the new mayor.</li> </ul>	<ol style="list-style-type: none"> <li>1. The Leader, Deputy Leader and Chief Executive to build on the existing relationships and engage with the future mayor at a sub and regional level.</li> </ol>	<p>November 2024</p>

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## Report to Cabinet

**Subject:** Equality, Diversity and Inclusion Policy

**Date:** 28 March 2024

**Author:** Interim Corporate Director

### Wards Affected

All Wards

### Purpose

To seek approval of the Council's Equality, Diversity and Inclusion Policy 2024-27 and to update Member's on the responses to consultation on the policy and future work plans in respect of equality and diversity.

### Key Decision

This is a key decision as the policy and workplan are likely to have a significant impact on residents or businesses across the borough.

### Recommendation

#### THAT Members:

- 1) Approve the Equality, Diversity and Inclusion Policy 2024-27
- 2) Note the consultation responses and future workplan in relation to equality and diversity.

## 1 Background

- 1.1 In October 2021, Cabinet approved the Council's Equality and Diversity Policy document along with the Equality and Diversity Framework and Action Plan for 2021-2024. These documents were approved following two rounds of public consultation.

- 1.2 In January 2024, Cabinet agreed to launch a consultation on proposed changes to the Equality and Diversity Policy for 2024-27. The consultation was launched mid - February and closed on 17<sup>th</sup> March 2024.

1.3 **Summary of feedback from public consultation**

Background and Methodology

The proposed policy sets out the Council's commitment to provide its services to the public fairly and to promote equality and diversity.

The Council consulted local people and community groups on what impact its proposed Equalities and Diversity Policy has on people in Gedling, what changes they would suggest to the policy, what equality and diversity aspects are most significant to them, and what their experience is relating to equality, diversity and inclusion with the Council's services.

1.4 Response to the consultation

Views on the proposed policy were sought by conducting an online consultation and questionnaire that ran between February and March 2024. The consultation was both open to response from the public through general consultation channels and also from community groups to which consultation questionnaires were sent directly. Paper copies were also made available to customers at our outreach hubs. There were 39 formal responses to this consultation. Consultation was also undertaken face to face with the Youth Council and the Council's Overview and Scrutiny Committee and a summary of responses from those groups is detailed below. In addition one customer emailed directly their views on the policy with proposed amendments.

1.5 Main findings from online/paper responses

Despite widespread coverage through a range of media channels the official response rate was quite disappointing. Of the respondents commenting about the proposed Equality and Diversity Policy;

-36% agreed that the proposed policy will have a positive impact on the lives of the people of Gedling.

- 41% disagree that the policy will have a positive impact on the lives of people of Gedling.

- 23% of the respondents remained neutral.

There were several comments ranging in content and relevance. The report summarises some of the themes of the consultation but full responses can be found at appendix 3. Part of the response has been redacted as it contained information which would potentially identify the responder. This section was also essentially a complaint about a non-Council facility so was no relevant to this consultation.

#### 1.6 Results analysis

To summarise responses in a meaningful way, the responses to this consultation have been categorised within the **S** (Strengths), **W** (Weakness), **O** (Opportunities) and **T** (Threats) matrix. By using the residents' views within this matrix, the Council can establish the following:

- Strengths and Weaknesses analysis that allow a clear distinction between the views on what aspects of the policy are considered to be positive and what aspects would need further improvements.
- Opportunities and Threats analysis that allow the council to consider suggestions on how to continue and shape work in this area and also raises awareness of the risk associated with this work, which can be identified in advance and therefore avoided.

#### 1.7 Strengths

The positive replies to consultation confirm that there are respondents who are satisfied with Council services in relation to equality, diversity and inclusion. Some of their responses include comments such as, 'mostly good experience,' 'no issues or concerns,' 'my dealings with the council have been favourable'. Leisure services were specifically mentioned as 'extremely inclusive and work hard to include all.'

#### 1.8 Weaknesses

The respondents who were less satisfied with the proposed Equality and Diversity Policy described the policy as 'vague' suggesting that it does not 'explicitly promote equality in all its aspects.' Some have criticised the consultation itself and methodology, some do not see any benefit in the policy at all and consider it a waste of money. Certainly in terms of consultation approach this is something that will be included as an action

#### 1.9 Opportunities

Some of the respondents suggested changes to the proposed policy.

The suggestions mainly relate to the theme that policy should be presented in a more 'committal way' by outlining specific needs to each protected characteristic, real commitments to eliminate unlawful discrimination and using the term 'inclusion' in its title.

Also suggested was that the council should evaluate its published documents in respect of their accessibility, if they are visually easy to read, comprehensible etc.

The examples of some comments are:

- 'Reference to each protected characteristic and their needs'
- 'Commitment to eliminate unlawful discrimination across the borough'
- 'Information about making all aspects of life in Gedling more representative, e.g. the workforce.'
- 'Publish more photos of people who are older in age.'
- 'Consider changing the name of the policy and Equity and Inclusion, in line with many other organisations nationally. Diversity per se does not improve the outcomes of those who experience discrimination.'
- 'Consider accessibility of how documents are written, typeface, colours (dyslexia and sight appropriate) plain English language etc.'

#### 1.10 Threats

Some comments relating to this policy expressed concerns that the policy, without a firm set of actions, might represent only 'a tick box exercise' and that it might become only a PR exercise.

'Ageism' appears as a frequently used word in the respondents' comments representing a threat that this type of discrimination might be potentially overlooked.

Examples of some relevant comments include:

- 'Publish more photos of people who are older in age.'
- 'Aspects relating to age discrimination, which is as yet not taken as seriously as other forms of discrimination e.g. sexism, racism.'

#### 1.11 Consultation with Youth Council

The policy was presented to the Youth Council for consideration as part of the Youth Council meeting held on 19<sup>th</sup> February 2024. Their views on the policy and the Council's approach to equality and diversity more generally was discussed. The youth Council's comments are summarised below:

- More focus is needed on accessibility to parks and play equipment
- Council needs to demonstrate what they are actually delivering in terms of equality and diversity which the policy doesn't necessarily do
- Regard needs to be had for non-visible disabilities



- As part of the procurement of play equipment regard needs to be had to wheelchair users
- There should be more seating available in our parks for those who struggle to walk long distances
- Equality and Diversity training should be delivered in the Council and in schools in a way that makes it meaningful and by people who have lived experience
- Our roads and pavements are difficult for wheelchair users

#### 1.12 Consultation with Scrutiny Working Group

Overview and Scrutiny Committee agreed to establish a working group to be part of the consultation on the Equality and Diversity Policy. The group met on 27<sup>th</sup> March 2024. A summary of the feedback and discussion are as follows:

- It is recognised a policy is needed and broadly it is fit for purpose
- The policy should include a definition of diversity
- There should be more in the employment section about overcoming barriers to employment and promotion and encouraging diversity in recruitment
- Need to consider our consultation approach more widely going forward to improve engagement thinking about language
- There should be union representation on the staff inclusion group
- The consultation has attracted negative online commentary in some areas with a general comment that the Council is not inclusive
- Paper copies of the consultation should be more readily available in the customer hubs and Leisure Centres
- The approach to embedding equality actions in service plans was supported
- All protected characteristics should be included in survey responses where equality data is captured
- Promote positive impacts of equality and diversity
- Need to look at recruitment and job advertisements to ensure inclusivity

#### 1.13 **Proposed actions and revisions to draft policy arising from consultation**

Although perhaps small in number, the responses to the consultation are extremely valuable and actions are proposed arising from this consultation. It is recognised that the policy is designed to be a high-level document and that to include specific detail about specific protected characteristics may not be appropriate in the document itself. That said, it is clear that there is a significant proportion of respondents that feel that more clarity to relate actions to specific characteristics is needed and this is addressed in the

proposals below.

It is proposed to:

- Formally amend the policy title to Equality, Diversity and Inclusion Policy
- To continue to take account of accessibility of documents made available to the public on our web pages, particularly as a consideration in the event of any changes to web page design or a change to web software.
- In the quarterly performance reports to Cabinet, for any action that is referenced that has a relevance either directly or indirectly to matters of equality diversity and inclusion, the specific protected characteristic or characteristics that might be relevant to that action will be identified. This will serve to provide clarity of how the action will improve or affect specific protected characteristics.
- Include a definition of diversity within the policy
- Include additional wording under the employee section to reflect recommendations from Scrutiny Committee
- Include additional wording in our providing services section to demonstrate that we will investigate promptly complaints of discrimination, harassment, victimisation and bullying.

These responses to the consultation are designed to be positive and practical in nature and aim to address the main issues of concern. Some of the points raised in consultation will form part of service plan actions as detailed later in the report. In relation to accessibility to parks and play equipment, our Parks and Street Care team do carry out consultation on park design and ensure disability standards are met, more detailed Equality Impact Assessments will be completed as part of this process to reflect the outcomes of consultations.

#### 1.14 Equality Actions 2024/25

Under the current Equality and Diversity Framework and Action Plan, the Council has an action plan which includes 70 actions created against the Local Government Association Equality Framework for Local Government. This has been a significant piece of work and is largely completed. The new approach proposed in the policy from 2024 is to embed equality actions into

annual service plans rather than having stand alone equality plans. An assessment against the LGA framework has identified areas where we need to fill gaps to improve our approach to equality and diversity and these are referenced in service plan actions for 2024/25.

- 1.15 Annually, the council undertakes a service planning exercise. Each service area produces a service plan containing specific actions that are designed to meet the objectives and high-level themes that are set out in our business plan, the Gedling Plan. Currently this plan runs from 2023 to 2027.
- 1.16 As part of this Plan the Council also seeks to fulfil its obligations under the public sector equality duty which came in to force in April 2011 (s.149 of the Equality Act 2010). Under this Act the council is required to have due regard to the need to achieve the objectives set out under s149 of the Equality Act 2010 to:
- (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010;
  - (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
  - (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
- 1.17 To ensure transparency, and to assist in the performance of this duty, the Equality Act 2010 (Specific Duties) Regulations 2011 require public authorities to publish equality objectives, at least every four years.
- 1.18 Within the four-year Gedling Plan 2023-27, the summary statement encapsulating the theme of “Community”, is for the Council “to enable a resilient, empowered, connected, inclusive and healthy community”. More specifically, within that theme is the stated objective to, “Provide opportunities for all people to connect and live, work and socialise together, and have equal access to services”.
- 1.19 In order to satisfy this objective and to practically and meaningfully contribute to the delivery of the requirements of the Equality Act, the following key service-based actions are currently proposed for inclusion in planned future reports to Cabinet:
- Promote and encourage participation with apprenticeship opportunities for residents across the Borough
  - Coordinate a manageable number of work experience placements (school age and working age placements)

- Support and coordinate the ongoing “compact” (statement of mutual support) arrangement with Nottingham Trent University
- Through community and voluntary sector partner engagement and activities, enable and maximise targeted resources to those most vulnerable in Gedling and wider residents as appropriate.
- Deliver the Gedling Employability Programme to schools across the borough.
- Work with Family Support Hubs through engagement with Notts County Council’s Children and Families’ Service.
- Enable the Gedling Youth Council to scrutinise, advice upon and champion services to young people.
- Work with the Notts County Council’s Young People’s Mental Health Strategic Group and Youth Service to develop and improve access for local young people to mental health support.
- Implement a series of actions to digitally upskill customers of the Council.
- Drive forward service interventions identified in the Leisure Strategy, including greater integration with health and wellbeing partners to address health inequality.
- Work with VCS, Health Services and others represented on the Health and Wellbeing Board Co-production Group to create optimum growth in services for, and in communities and extend the reach of Health and Wellbeing services and support promotion. This includes delivery of health inequalities work in targeted localities.
- Through the Strength in the Community programme, offer a grant fund for local community hubs, parishes and grass roots providers.
- Seek to improve our domestic abuse response through the introduction and adoption of an established set of standards and an accreditation process (Domestic Abuse Housing Alliance (DAHA) accreditation). Also, the implementation of the Violence against Women Strategy.
- Create and implement Housing Strategy to include consideration of the needs of vulnerable groups including those with physical/learning disabilities and older people who may need adaptations to remain in their accommodation.

- Designate a Resettlement Officer to work directly with refugees and asylum seekers
- Establish a programme of customer engagement to support transformation through the production of a corporate consultation strategy.
- Provide training and support to key managers to improve complaint responses and particularly those in relation to equality complaints to ensure that practical support can be offered where appropriate.
- Review funding strategy for external funding bids and grants to ensure equality impacts are understood when determining bid applications.
- Delivery of recruitment and selection training (ongoing programme) to avoid bias.
- Assess under-representation in the workforce and produce an improvement action plan.
- Improve access to mental health support for employees both through the promotion of the Employee Assistance Programme and also through the introduction of Mental Health First Aiders
- Review the delivery of the annual health fair for staff and in particular to undertake a scoping exercise to explore the factoring in of wider staff healthcare needs.
- Review our offer to Care Leavers

1.20 In order to ensure that these actions are progressed, a separate action is also included in service plans which is to implement and monitor the delivery of the actions relating to equality, diversity and inclusion over the year. Report will be made on a quarterly basis to the Strategic Equality and Diversity Group that is chaired by the Portfolio Holder for Life Chances and Vulnerability.

1.21 Other minor actions relating to equality, diversity and inclusion are also included in service plans at a departmental level and would not be reported to committee other than in summary form.

## 2 **Proposal**

- 2.1 It is proposed that Cabinet approve the Equality, Diversity and Inclusion Policy at Appendix 1 to this report. The changes from the current policy, including those made as a result of consultation feedback are shown in tracked changes.
- 2.2 It is proposed that Cabinet note the consultation responses and the actions taken to address these responses within the policy document and future service plans.

### **3 Alternative Options**

- 3.1 Cabinet could determine not to approve the policy for 2024-27 or agree a different policy. It is however recommended that the Council have an outward facing equality related policy to demonstrate our commitment to our public sector equality duty. This policy has been prepared following consultation with our community.

### **4 Financial Implications**

- 4.1 In terms of the financial implications, there are no direct financial implications arising from this report.
- 4.2 As indicated, there is no dedicated resource associated with the equality agenda and the work and associated budgets form part of approved budgets within service areas.

### **5 Legal Implications**

- 5.1 The Council has a statutory duty to comply with the requirements of the Equality Act 2010. The policy, and action plan demonstrates how the Council seeks to comply with its Public Sector Equality Duty and deliver on its Equality objectives as set out in the Gedling Plan.

### **6 Equalities Implications**

- 6.1 An Equality Impact Assessment in relation to this policy is attached at appendix 2, individual service actions will have their own equality assessment.

### **7 Carbon Reduction/Sustainability Implications**

- 7.1 There are no carbon reduction/sustainability implications arising directly from this report. Any individual actions which would give rise to such impacts would be assessed separately.

## **8 Appendices**

- 8.1 Appendix 1 – Equality, Diversity and Inclusion Policy 2024-27

Appendix 2 – Equality Impact Assessment

Appendix 3 – full consultation responses redacted section containing personal information in a complaint about a non-Council facility.

## **9 Background Papers**

- 9.1 [Equality Framework for Local Government \(EFLG\) 2021 | Local Government Association](#)

## **10 Reasons for Recommendations**

- 10.1 To ensure the Council has an ongoing Equality Diversity and Inclusion Policy and action plan that is fit for purpose.

### **Statutory Officer approval**

**Approved by:**

**Date:**

**On behalf of the Chief Financial Officer**

**Approved by:**

**Date:**

**On behalf of the Monitoring Officer**

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**Gedling Borough Council's  
Equality ~~and~~ Diversity and  
Inclusion Policy ~~2021-~~  
20242024-2027**

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## 1. Introduction

1.1 This is Gedling Borough Council's Equality and Diversity and Inclusion Policy 2024-27 covering our commitment to enhancing and promoting equality and diversity. This policy is supported by the Council's Equality and Diversity Framework and Action Plan which provides an annual operational programme of equality actions linked to the Gedling Plan and service plans. Further details in the framework and action plan are included in section 7.

~~1.1.~~

1.2 This policy is part of a set of policies, guidance and information around equality and diversity which includes:

- Equality Impact Assessment and guidance – to analyse the effects of our policies, procedures, and services on people and make sure our decisions are fair, informed and lawful
- Recruitment and employment policies and standards including the Equality Policy (Employment)
- Learning and development opportunities including equality training
- Code of Conduct for Members
- Complaints, Compliments and Comments Policy
- Procurement equality standards and clauses in contracts for organisations providing services on our behalf
- Equality objectives
- Gedling Plan
- Equalities information and data about diversity characteristics and needs, community feedback and employment/community/customer data
- Equality Framework and Action Plan

1.3 Whether you are an employee, job applicant, volunteer, elected Member, customer, partner, visitor to Gedling or resident of the borough, we aim to provide you with services and opportunities without barriers to equality. If you do face any barriers we hope that we can sort them out for you.

1.4 Everyone who works for Gedling Borough Council (as an employee, contractor or volunteer) is expected to adhere to this policy.

1.5 Councillors (Members of Gedling Borough Council) are bound by their Code of Conduct.

4.51.6 Following on from our Equality and Diversity Policy 2021-2024 this Council is proud of its continued commitment to promoting equality and diversity in the delivery of its functions. Over the last three years there has been a change to the way we work which has seen equality and diversity considerations becoming a much more integrated part of our service delivery and decision making processes.

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we thank all our residents, communities, partners, Councillors and Officers for their continued commitment to deliver on our Equality Objectives.

## **2. What is Equality and Diversity?**

2.1 Equality is about valuing a person 'as an equal' and treating people according to their needs and characteristics to achieve an equal or fair outcome – it is not necessarily about treating everyone the same.

2.12.2 Diversity is the practice of involving and including people from a range of different backgrounds with different protected characteristics. Diversity brings variety and a range of viewpoints and experiences which are invaluable in shaping our services.

2.22.3 An equal society values human diversity, recognising that diversity brings a range of skills, knowledge, values, styles, perspective, experience and ideas that secure the borough's future as a place where people want to live, work and prosper, and challenges the inequalities that destroy this diversity and divides our society.

[2.32.4](#) By promoting and embracing equality as an organisation, we are serving our communities and improving the lives of our residents and our staff.

[2.42.5](#) Equality brings quality for everyone and the creation of a fairer society where everyone can participate and achieve their potential.

[2.52.6](#) As an organisation we recognise that it is only by meeting people's needs, engaging with our communities, having accessible services and a diverse workforce and respecting diversity that we will achieve equality and reduce inequality.

### 3. Our Commitment

3.1 Gedling Borough Council is committed to the public sector equality duty under the Equality Act 2010 ('the Act') and in the exercise of our functions we will have due regard to the need to: eliminate discrimination, harassment ~~and~~ victimisation, ~~and any other unlawful conduct prohibited by the Act~~, advance equality of opportunity and challenge prejudice, in order to advance the achievement of equality and the fostering of good relations between diverse groups in the Borough.

3.2 Gedling Borough Council is committed to promoting and providing equality and diversity in all our areas of responsibility both as a major employer and key service deliverer. We see the diversity of our Borough as a real strength, and we are committed to ensuring that equality and diversity lies at the heart of all our work and decision making across the Council.

3.3 Gedling Borough Council will challenge unfair treatment, prejudice, discrimination, harassment, victimisation and bullying on grounds of the following protected characteristics:

- Age
- Disability
- Gender ~~identity~~ reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex
- Sexual orientation

This includes discrimination by association and perception.

3.4 Together, through leadership, management supervision, personal responsibility, partnership working, guidance and training we will create a culture which demonstrates our commitment to equality, where people can feel confident of being treated with fairness, dignity and tolerance irrespective of their personal circumstances, background or lifestyle.

We will strive to ensure that everyone working for the Council understands about equality and diversity and how to operate in a non-discriminatory and inclusive way.

3.5 The Equality Act 2010 ("the Act") places a legal duty on the Council and those working for the Council to operate in accordance with the Act. The Council acknowledges and welcomes its legal duties and uses the legislation and national guidance as a framework to maintain and where necessary improve standards and be accountable to residents. As an organisation we are not just driven by legislative requirements and this policy and the work we do is a response to our local needs.

#### **4. How will we make sure we fulfil our commitment?**

##### **4.1 In developing plans, policies, practices and making decisions – WE WILL:**

- design our plans, policies and practices to meet the needs of all our communities by using detailed research and data, consulting and engaging with relevant stakeholders and the communities, having regard to their views, following our legal duties and using our experience of good practice.
- make sure that our plans, policies and practices do not unfairly discriminate against people with protected characteristics by doing robust equality impact assessments, acting on the results and understanding who is affected.
- make sure that all our employees, members, volunteers, customers, partners, contractors and residents are aware of this policy, our responsibilities and commitment to equality.
- make sure that in decision making, our Members have all the relevant information needed to ensure decisions are taken in a way that promotes equality and reduces inequality.
- make sure that we fully understand and assess the equality impacts of our budget setting and savings decisions.

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##### **4.2 In providing services – WE WILL:**

- take into account the diverse needs of our communities and provide services that are relevant to those needs.
- make sure our services are accessible to as many as possible including access to physical premises and access to information about our services and make reasonable adjustments where appropriate (see Appendix 1).
- ensure our website is maintained to address the needs of different audiences.

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- engage with as many sections of the community as possible when we consult about our services.
- promote and celebrate diversity within our borough.
- treat customers fairly according to their needs, doing what matters to them and not making assumptions.
- encourage our communities to take part in public events and engage with the Council in how we deliver our services.
- keep our services under review to ensure that we are not discriminating unfairly and identify where improvements can be made.
- keep listening to the views of our residents and communities to ensure we take their views into account when reviewing or changing services.
- comply with our legal responsibilities.
- Listen to complaints about our services and act promptly to investigate complaints of discrimination, harassment, victimisation and bullying.

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#### 4.3 In employment – WE WILL:

- have regard to our Equality Policy (Employment).
- do everything we can to make sure our workplace is free from discrimination, oppression, bullying, harassment and victimisation and will act promptly on any complaints.
- ensure employees are made aware of the Equality Policy (Employment) and how this is relevant to them in the workplace and in the work that they do.:-
- treat all employees, volunteers and job applicants fairly.
- make sure that we work to relevant legislation and statutory codes.
- listen to our employees ideas for service improvement and delivery.
- provide a safe and inclusive working environment and make reasonable adjustments for employees where appropriate.
- provide a culture that promotes and advances equality and diversity within the organisation and within the workforce.

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- promote equality and diversity and inclusion through our recruitment processes and job advertisements
- Recognise our specific duties under the Equality Act 2010 including the duty to advance equality of opportunity which we will do from the point of job vacancy advertisement through to fair recruitment and selection and furthermore through to application of supportive policies that apply to all of our employees. This is done with the purpose of removing barriers to employment.

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#### 4.4 In partnerships, procurement and commissioning services – WE WILL:

- seek to work with organisations who have the same approach to equality and diversity as we do.
- make sure that our commitment to equality is embedded in our contract documentation and procurement processes.
- take appropriate action for any failure by our contractor's to comply with any equality condition or requirements.
- ensure any contractors or partners we work with are aware of and adhere to this policy.
- share our knowledge of our diverse communities with our contractors and partners to ensure that services are delivered in a relevant way.
- listen to the views of our partners and contractors and work with them to ensure we keep our work and practices under review and improve our services and practices when necessary.

#### 5. Responsibilities

5.1 A number of individuals and groups have specific roles in meeting our equality and diversity responsibilities. There is a clear structure in place to demonstrate our leadership and organisational commitment, challenge inequalities and drive an improvement agenda.

5.2 All Councillors are responsible for demonstrating commitment to equality and diversity in their work and decision making, and striving to improve equality in their wards. Full Council stands against intolerance and inequality and will agree the Council's published Equality Objectives as part of the Gedling Plan and approve the Council's Pay Policy Statement including Gender Pay Gap reporting.

5.35.2 The Leader of the Council and Cabinet Members will act as ambassadors by promoting the Council's approach to equality and diversity across the organisation and in the wider community. They have the responsibility of approving this policy, and ensuring equality considerations are taken into account when making decisions.

5.45.3 The Portfolio Holder for Life Chances and Vulnerability ~~Young People and Equalities~~ is responsible for functions in relation to equality and is supported by a Policy Advisor for ~~Young People and Equalities~~ Vulnerable people. Together they will work with senior leaders to promote equality and diversity within the organisation and engage with communities to ensure equality in service delivery.

5.55.4 The Portfolio Holder for ~~Young People and Equalities~~ Life Chances and

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Vulnerability will chair a Strategic Equalities & Diversity Group (SEDG) which comprises the Leader, Deputy Leader, Policy

Advisor for ~~Young People and Equalities~~Vulnerable People, one representative from each of the opposition groups, the Chief Executive and the Director with lead responsibility for equality and diversity. Any other Cabinet Member may attend if they wish. The Group will provide leadership and act as ambassadors for equality and diversity issues, leading by example and encouraging the integration and embedment of equality and diversity in all of the council's functions; oversee, support and monitor progress of the Equality Framework and Action Plan and consult and seek representation from staff, Members, user groups, service users, residents, businesses and partners. This Strategic Equalities & Diversity Group may set up and oversee the work of a number of sub-groups (Diversity Action Groups) as required.

5.65.5 The Chief Executive is responsible for encouraging continued proper regard for equal opportunities issues at a strategic level within the Council with reference to employment, to achieve a diverse and engaged workforce, and service delivery, to ensure responsive services and customer care; instigating action to address areas of concern highlighted by trends or patterns in monitoring data and developing strategic measures and policies to ensure equality across all employment issues within the Council.

5.75.6 Senior Leadership Team and ~~Heads of Service~~Senior Managers have responsibility for developing and encouraging a culture that promotes equality and diversity in employment and service delivery. They also have responsibility to ensure implementation and awareness of and compliance with this policy, and to investigate any complaints in relation to equality and diversity in a fair and effective way.

5.85.7 The Director ~~of Corporate Resources~~ has with lead responsibility for equality and diversity within the organisation ~~and~~ is responsible for maintaining and reviewing this policy, providing performance management information relating to equality that informs Cabinet, SEDG, SLT and managers, ensuring the provision of training for Members and officers in relation to equality and diversity awareness, publishing relevant equality data including equality objectives and ensuring that the Council meets its statutory responsibilities in relation to equality.

5.95.8 Heads of Service are responsible for ensuring equality and diversity considerations and actions are embedded in Service Plans and are central to service delivery, dealing with breaches of this policy and ensuring compliance with statutory responsibilities at a practical level through management of employees

5.105.9 All employees have a personal responsibility to act in accordance with Equality law and other codes of conduct and policies endorsed or adopted by the Council which govern acceptable behaviour. Employees have a personal responsibility to ensure that the Council's commitment to equality and diversity is fulfilled and that this policy is complied with. Failure to comply with this policy will always be investigated under the Council's Disciplinary Procedure and may result in disciplinary action.

5.445.10 All contractors, partners and volunteers should be made aware of this policy and act in compliance with it.

## 6. Monitoring and Review

6.1 This policy will be regularly reviewed but must be reviewed at least every 3 years to ensure it remains fit for purpose. We will ensure that we engage with residents and staff to enable this policy to be reviewed, taking into account the views of those who use our services or work for, or with us.

## 7. Equality and Diversity Framework and Action Plan

7.1 To support this policy, the Council have developed an Equality and Diversity Framework and Action Plan. This is a set of actions which demonstrates how the Council will deliver on its equality commitments and published objectives within the Gedling Plan.

7.2 The Equality Framework and Action Plan is assessed against the Local Government Association Equality Framework for Local Government ("LGA framework") Equality Framework for Local Government (EFLG) 2021 | Local Government Association which provides a framework against which local authorities can self-assess their overall status in relation to equality and diversity against three categories; **developing**, **achieving** and **excellent**.

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7.3 The Council's Equality and Diversity Framework and Action Plan for 2021-24 was based on securing the **developing** level for the Council based on the LGA framework. The completion of the Council's 2021-24 action plan has seen the improvement of the Council's position and following self-assessment, the **developing** level is now secured.

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7.4 For 2024-27, the Council will develop a framework and action plan for each financial year which will be agreed by Cabinet annually. The actions will form part of Service Plans and link to the Gedling Plan objectives in order to further embed equality and diversity into the delivery of Council functions. The Framework and Action Plan will include actions each year that further improve the Council's position against the LGA framework with the aim of securing **achieving** status and moving towards **excellent** by 2027. Performance of the Equality and Diversity framework actions will be monitored as part of quarterly monitoring by Cabinet, SEDG and SLT to ensure delivery.

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## Appendix 1

### Reasonable Adjustments

1. The Equality Act 2010 ("the Act") requires reasonable adjustments to be provided for people who are "disabled". Under the Act this means they have a "physical or mental impairment which has a substantial and long-term adverse effect on their ability to carry out normal day to day activities".
2. The duty is to make "reasonable adjustments" if the way that we carry out our functions places a disabled person at a "substantial disadvantage" compared to someone who is not disabled.

### Our Legal Duties

3. Anyone providing goods, facilities or services to the public or a section of the public, or carrying out public functions, who find that there are barriers to disabled people in the way they do things must consider making adjustments. If those adjustments are reasonable they must be made.
4. The duty is 'anticipatory'. This means a service provider cannot wait until a disabled person wants to use the service. They must think in advance about what disabled people with a range of impairments, such as visual, hearing, mobility impairment or a learning disability, might reasonably need.

### What are Reasonable Adjustments?

5. Reasonable adjustments are not defined by the Act. There is a Code of Practice which gives guidance as to the kind of adjustments that could be made. Depending on the individual's needs, these might include, for example:
  - Providing documents or correspondence in larger print, or with a specific colour contrast, which may help people with conditions such as dyslexia
  - Giving someone more time than would usually be allowed to provide further information or comments on their complaint
  - Using the telephone rather than written communication (e.g. for someone with a visual disability)
  - Communicating with a person through their representative or advocate
  - Arranging for a single point of contact at the council's premises

- Providing access to an 'easyread' version of our decision for those with a learning disability
  - Providing a person who uses British Sign Language (BSL) with a fully qualified interpreter
6. We will raise awareness of reasonable adjustments by:
- Publishing this policy on our website
  - Asking people whether they need any additional help or assistance.
  - Making sure that our staff are aware of their responsibilities.
  - Including a statement in our publications that invites people to contact us if they need us to adapt the way we communicate
7. We consider each request individually and aim to agree any adjustments with individuals to avoid us making incorrect assumptions about needs.

#### **Our response to requests**

8. Before making an adjustment, we will take into account the Code of Practice and we need to consider some important factors, including:
- What the disadvantage would be if the adjustments were not made
  - Whether the adjustment will be effective in reducing the disadvantage
  - How practical it is to make it
  - Whether it would disrupt our other activities unreasonably
  - The cost and availability of internal resources, such as staff available, finance and also possible external help
9. Although we will try to agree a reasonable adjustment with a minimum of delay, in some cases we may need to consider the request in more detail for a longer period of time.

**Circumstances when the council decides not to meet the request for reasonable adjustments**

10. There may be circumstances where we decide not to meet the request as we might, for example, consider the request itself not to be reasonable. This might be because we need to take into account the cost or resource implications of making the adjustment. If providing the adjustment or meeting it would interfere with our ability to meet our legal obligations, we may decide the adjustment is not "reasonable".

**Complaints about failure to provide reasonable adjustments**

11. If someone is dissatisfied with our response to their request for reasonable adjustment, or with the reasonable adjustment provided, they can complain to us about this. We will respond in accordance with our Complaints, Compliments and Comments Policy.

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## Equality Impact Assessment

Name of project, policy, function, service or proposal being assessed:	Equality, Diversity and Inclusion Policy 2024-27				
The main objective of (please insert the name of accessed document stated above):	Demonstrate our commitment to public sector equality duty, delivery of equality objectives, and providing inclusive services.				
<p>What impact will this (please insert the name) have on the following groups? Please note that you should consider both external and internal impact:</p> <ul style="list-style-type: none"> <li>• External (e.g. stakeholders, residents, local businesses etc.)</li> <li>• Internal (staff)</li> </ul>					
Please use only 'Yes' where applicable		<b>Negative</b>	<b>Positive</b>	<b>Neutral</b>	<b>Comments</b>
<b><u>Gender</u></b>	External		X		
	Internal		X		
<b><u>Gender Reassignment</u></b>	External		X		
	Internal		X		
<b><u>Age</u></b>	External		X		
	Internal		X		

<b><u>Marriage and civil partnership</u></b>	External		X		
	Internal		X		
<b><u>Disability</u></b>	External		X		
	Internal		X		
<b><u>Race &amp; Ethnicity</u></b>	External		X		
	Internal		X		
<b><u>Sexual Orientation</u></b>	External		X		
	Internal		X		
<b><u>Religion or Belief (or no Belief)</u></b>	External		X		
	Internal		X		
<b><u>Pregnancy &amp; Maternity</u></b>	External		X		
	Internal		X		
<b>Other Groups</b> (e.g. any other vulnerable groups, rural isolation, deprived areas, low income staff etc.)	External		X		
	Internal		X		

Please state the group/s:  _____ _____					

Is there is any evidence of a high disproportionate adverse or positive impact on any groups?	Yes	No	<p>Comment</p> <p>The policy is aimed to promote equality and diversity and accessibility to services for all residents communities and staff in the borough. The reasonable adjustments policy Supports accessibility to services for all.</p> <p>The policy is expected to have a positive effect across all protected characteristics across the life span of the Gedling Plan. Specific impacts of individual service plan actions resulting from the policy approach will be equality assessed individually.</p>
Is there an opportunity to mitigate or alleviate any such impacts?	Yes	No	NA
Are there any gaps in information available (e.g. evidence) so that a complete assessment of different impacts is not possible?	Yes	No	For individual service plan actions, consideration of relevant data will be needed, data needs to be robust to ensure any gaps are identified.
In response to the information provided above please provide a set of proposed action including any consultation that is going to be carried out:			
Planned Actions	Timeframe	Success Measure	Responsible Officer


**Authorisation and Review**

<b>Completing Officer</b>	<b>Francesca Whyley</b>
<b>Authorising Head of Service/Director</b>	
<b>Date</b>	
<b>Review date ( if applicable)</b>	

This report was generated on 14/03/24. Overall 38 respondents completed this questionnaire. The report has been filtered to show the responses for 'All Respondents'. A total of 38 cases fall into this category.

The following charts are restricted to the top 12 codes. Lists are restricted to the most recent 100 rows.

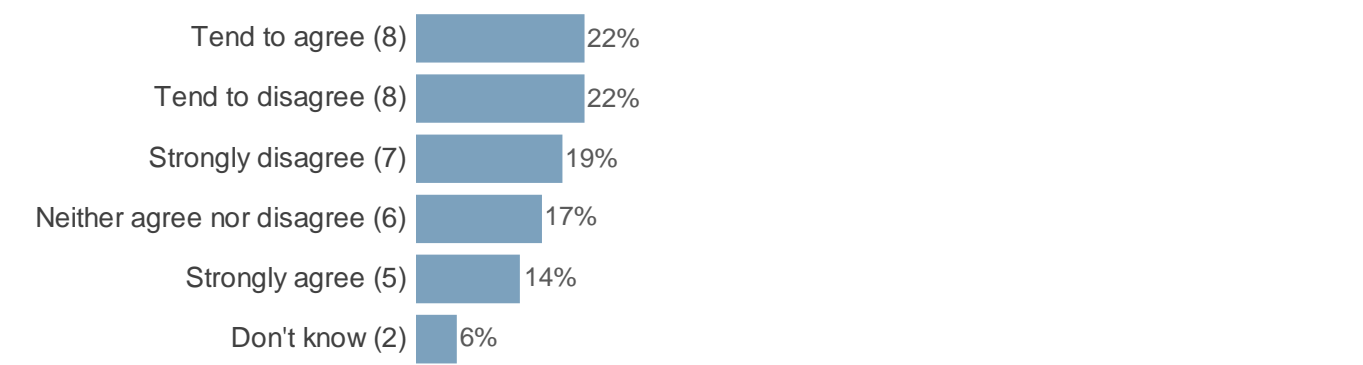
Are you responding on behalf of an organisation/ community group?



Please provide the name of your organisation/community group?

- None
- Sequence Dance Schools

Do you agree that our proposed policy will have a positive impact on the lives of people of Gedling?



Please explain why you disagree with our proposed policy:

- From experience I would say undertaking equality impact assessments just pay liipservice to embedding really equal access to services. Do example no longer providing printed bin collection schedules excludes anyone unable to access or understand how to use a computer.
- The policy is vague, which is hardly surprising as the policy is 3 pages long including pictures! Very short consultation questionnaire - is it serious? The policy should be explicitly promote equality in all its aspects and be anti-discrimatory; if it isn't, the question is is it discriminatory and if its not discriminatory what is it!? Are we content with the status quo?
- The few that believe in these policies will use it and so benefit. Their benefits could then take away from the majority who have no interest in ir
- It is unnecessary
- It doesn't go far enough for people with disabilities
- Well it won't impact on most peoples lives. Probably only 5% of the population
- Any employer should employ the best person for the job regardless of race, gender,age

## Please explain why you disagree with our proposed policy:

I'm a white 58 year old male. How exactly have your employees and councillors been trained to reflect my needs and how would this differ from a 58 year old black man? The answer it shouldn't we are all equal. So why waste money and time on this?

As usual tick boxing and the money would be better spend on all residents of the borough.

You will not take any notice of the responses on this survey. The agenda is decided.

Does not affect day to day operations, Just a pr exercise

It relies on the public, staff and officers to follow your policy and you can't 100% declare this will happen

I think you should treat everyone the same

Because it ends up costing money I get fed up paying for your follies the council tax is already a rip off.

Diversity & equality policies fail because they do the opposite of their intention. Policies like these put labels on people & cause conflict. The sooner we stop dividing people into categories & treat everyone fairly , the better.

Stop trying to please everyone you please no-one Let the public decide instead of Nanny Stating us into Boxes

## Are there any changes that you would suggest to the proposed policy?

REAL consultation and not a rubber stamp exercise to push through service changes without real consideration of the impact

Reference to each protected characteristic and their needs. Detail about protected characteristics - most people don't know what they are How the council shows respect for and celebrates each protected characteristic Commitment to eliminate unlawful discrimination across the borough Information about making all aspects of life in Gedling more representative, e.g. the workforce, encourage

Publish more photos of people who are older in age; your policy leaflet appears to have photos of younger generation adults and as such is not diverse enough with regard to age discrimination.

Scrap it

Stronger enforcement, especially on planning applications for businesses

Are there any changes that you would suggest to the proposed policy?

Yes I would like this extended to organisations that rent space from the council and to within schools.

My son was treated disgracefully by

. This information

was shared

. This lead to years to horrendous bullying

## Are there any changes that you would suggest to the proposed policy?

Cancel it spend the money on potholes

Scape it. Reflect actual need I.e. the homeless requires homes, the elderly care, the young sports facilities. The council provides them.

Consider changing the name of the policy and Equity and Inclusion, in line with many other organisations nationally. Diversity per se does not improve the outcomes of those who experience discrimination

Less of it, too much money spent on this .

Make sure that you consider everyone..not just who you think should be considered most.

Scrap it

Consider accessibility of how documents are written, typeface, colours (dyslexia and sight appropriate) plain English language etc.

Stop wasting money. We all know white working class boys get the worst results at school but you won't do anything about that.. Money shouldn't be spent on this everyone treated equally its simple. Best person for the job instead of box ticking

Make it less specific. Carrying out impact consultations can be useful, or not, depending on how you do it and what is implemented. The whole policy has been written in a non committal way.

Scrap it

I mean, it seems fine but it's hard to say as it's light on specifics. Treating all staff equally is commendable but how are you going to do that? More importantly, how are you going to move beyond that to support marginalised members of staff?

Should include equal access to nature and open spaces

Really difficult to read red on white.

Nothing I can think of

Include a you said we did section for future plans.

Scrap it and divert the money to areas that help everyone - like parks & recreation

Looks good

No, the policy is a good basis for moving forward.

The red colour (of the font) is difficult to read. A well presented document. Very clear and authentic/honest/realistic in tone and approach ( e.g.recognising there is more to be done etc).

No

## Is there anything else that you would suggest that should be included in the policy?

Don't produce booklets such as the one being consulted on printed in red ink and with headings in pale type on a dark background - it makes it difficult to read.

The honest position of the council now and what it will do to address weaknesses

No

Minimum fines for non-compliance. Free leisure centre membership for disabled people, as per the veterans initiative

That minority groups should not receive special preferences over any other group. Otherwise it is not equal, but it does cause even greater levels of distrust, resentment and therefore goes against part of what it is setting out to do

Yes all organisations who rent council facilities should be accountable to your equality policy and if they aren't remove them from your facilities. All school staff should be accountable to your equality policy and if they aren't treating children fairly or appropriately or by guidance issued by the school or council, then hold them to account and report them accordingly.



## Is there anything else that you would suggest that should be included in the policy?

Nothing

See above.

It should be more specific

No

The option to not disclose certain aspects of my personality..( below) for a start... This questionnaire needs reviewing. I know what's happened , it's been thrown together, as a " great idea" and has not been reviewed first before being put out. ( Worked in such an environment) I have the gumption to comment in box, others won't, so you are really forcing them to give info "

Responsible person / team in Gedling Proactive measures demonstratibg commitments could be useful if you want the policy to mean something to residents outside the sphere of policy writing

No

Consultation and impact assessments using (any paying them for their time) local people who are going to impacted, rather than organisations talking on behalf of people.

Should include equal access to nature and open spaces

Nothing I can think of

More background info for ignorant people, explaining the protected characteristics and the importance of them

As before - scrap the policy & stop the division it causes

No

Treating all job opportunities equally should include work interviews in place of traditional interviews for people on the autistic spectrum.

-

How ( case studies or examples of activity/action) the EDI policy has impacted normal people in the community and local businesses. How equality and diversity is celebrated throughout the year in the borough of Gedling. Available data on equal pay scales for people with protected characteristics How the borough, through outreach, connects with diverse groups overseas How women and girls can excel in the borough How the judging panel for the Pride of Gedling Awards and any other borough awards can ensure diversity in judge selection/ judging panel Commitment to education and life long learning and how equality and diversity can be improved for learners

Nothing that comes to mind.

## What aspects of equality and diversity are most significant to you?

Access to services provided in ways everyone can access with real consideration and thorough assessment of impacts on all groups of residents.

All - I would like to see a genuine commitment to equality and diversity and real actions to change.

Aspects relating to age discrimination, which is as yet not taken as seriously as other forms of discrimination e.g. sexism, racism, et al.

None - by introducing all these variables and groups you fragment society and make certain minority groups have more power/ influence The ridiculous set of genders below says it all A transgender male has no reproductive male ability and all their body cells only contain information for female

The cost to the general public

Many openings/opportunities are aimed at minority groups. This leaves me and my family feeling very excluded.

Ensuring children are harmed by actions adults or lack of action!

None

## What aspects of equality and diversity are most significant to you?

I'm not a tick boxer who views people on what makes the world diverse.

Special educational needs, anti racism and gender equality.

Go back to spending our money on all residents and not patting yourselves on the back because you think you have ticked the right box.

Since I was diagnosed with a disability (autism) I have been treated differently (in a bad way) plus I have become much more aware of the barriers other people in minority groups face - e.g. if I lost my legs & consequently used a wheelchair I personally wouldn't be able to ring a shop to request a ramp be put down for me to access the shop as it's difficult enough for me to go shopping as it is so that extra barrier would be the factor that made it impossible for me.

Everyone gets a chance, but not at the detriment to others. Everything seems to sway to certain people in "the name of equality", squeezing others who are just as relevant out !!

N/a

Inclusivity generally

Money Not well spent

Level playing field

Ensuring staff keep equality and diversity training in mind when dealing with my family. Also, ensuring the council as a workplace is welcoming and friendly to all, regardless of disability, race, etc. I am white but my wife and daughter are black, so naturally I want to ensure they can access services and apply for jobs on an equal footing with others, should this ever come up.

All of them, you can't prioritise one aspect of equality over the other, or rank disadvantage. This is basic sociology, so either this policy and consultation are ill informed, or ill worded.

Access to nature Consideration of inequalities and space and time provided to allow for them, to help make positive changes Action planning for delivery against ambition

Everyone is equal.

LGBT+ Women

None

Equal opportunities for those living with a learning disability

The fact that it places more importance on some groups at the expense of others

Too much separation

Safety on public transport

Promoting a culture that promotes equality and diversity. Personally this would be allowing for the challenges of being on the autistic spectrum

The Council should listen to everyone carefully. The human impact of Council policies, actions and procedures on individuals with all varying protected characteristics should be considered.

Inclusion Accessibility Representation Voice Celebration Equal/ Fair pay Education access and inclusion Diversity in leadership personnel selection

Ageism. Both in the workplace and in society in general.

## In relation to equality, diversity and inclusion, what is your experience of services provided by the Council, both good and bad?

Mixed

I see no BAME councillors and very few BAME employees. Opportunities are limited. Although a council policy can not directly affect local democracy it can help participation in aspects of community currently seemingly not available including lead to participation in local democracy.

Gedling Seniors Council is a good vehicle, but lacks authority in terms of action.

In relation to equality, diversity and inclusion, what is your experience of services provided by the Council, both good and bad?

None keep on sending the bin lorries round

It is irrelevant

Too much now online only - hugely discriminating against disabled, and elderly, people

I feel like a second class citizen when it comes to being able to approach councils.

Na

Appalling my son applied for planning permission 2 years ago unable to contact anyone at planning dept

I don't understand the question. I have a green, brown and black bin. Are they different? If I say I'm Chinese or black do you treat me differently? Is that fair?

Unable to comment

Generally good

I emailed the Council regarding how difficult it was for me to put out my bin, so much so that I've not done it since 2020. I give my rubbish to my friend or take to a street bin because I can't cope with putting out my bins. I was concerned at reading about how the Council was planning to increase household recycling as I rely on recycling centres so I can take my paper rubbish etc. if my friend can't put it in his bin, so was panicked about it becoming much more centred on household collections. No one responded to my concerns, including my question regarding if the Council can help if someone is struggling with putting out their bins.

Struggle to see how race or gender etc effects things such as my council tax bill Waste of time and funds

No experience but that diversity monitoring form should have a prefer not to answer option on each demographic question so people can answer some and not all

Box ticking council

It's difficult to get a straight answer without being passed from pillar to post and nobody actually takes responsibility they just keep passing the buck

Can't comment on good or bad experiences, but it's good you are looking at equality and diversity.

I've never had an inclusive experience with Feeling Borough.

You really need to do a better job on your gender identity monitoring question - it's really out of date and non-inclusive

Mostly good

Ageism is rife.

No experience of any issues - either concerns or problems

Leisure is extremely inclusive and work hard to include all. All machines adjustable in gyms, disabilities swim lesson, classes designed for health patients and seniors. All very good

Whenever I see flags waved for one group I know a whole lot of other people are being excluded. Whenever I see questions that ask about "gender identity" Instead of sex, I know the council is ignoring & missing the equalities act 2010

Bad wasted money Improve condition of Roads every Diversity uses a road or pavement

Little experience

My dealings with the Council as an older person have been favourable However my son who is on the autistic spectrum has struggled when applying for jobs because of the traditional interviews that put him under so much stress that on the last occasion he has had a melt down. To overcome this barrier an alternative should be offered e.g. work interview. This would make the job opportunities more equally accessible.

Generally speaking I find the Council Services in relation to EDI to be reasonable.

## In relation to equality, diversity and inclusion, what is your experience of services provided by the Council, both good and bad?

Personally, I have had a good experience living and sometimes working in the borough as a person of African Caribbean heritage m ( my family moved in Pochester Ward [REDACTED]). I think is is only in recent years that I have felt GBC reach out to the community more which is good ( as previous I did not realise what happens at GBC and how to take part). The community events are great and the use of space, land, outdoors and indoors is good and could be increased. More could be done to help/ recognise up and coming talent in the borough who need help to succeed ( in sport, catering, heritage, fashion, industry, engineering etc), representing the borough in the chosen field. Thank you

Overall good.

## What is your postcode?

Ng15	NG58NW	NG3	Ng3 6bu	Ng41jp	NG4	NG14 6LN
NG3 6DL	Ng145bg	Ng43lh	NG5 8dw	NG5 6JG	Ng4	NG3 6AF
NG5 7ES	NG5 8HQ	Ng3 6ar	NG4	NG5 6LP	NG5 Y	NG5
Ng15	Ng15 9ft	NG4 1AU	Ng43db	NG14 5DW	Ng36ba	
Ng4	Ng3 6dr	Ng5	NG56FT	NG5 8AD	NG5 8GH	

## What is your gender identity?

Female (15) 54%

Male (13) 46%

Transgender male (-)

Transgender female (-)

Gender variant/ Non-Conforming (-)

## Other:

Not prepared to say

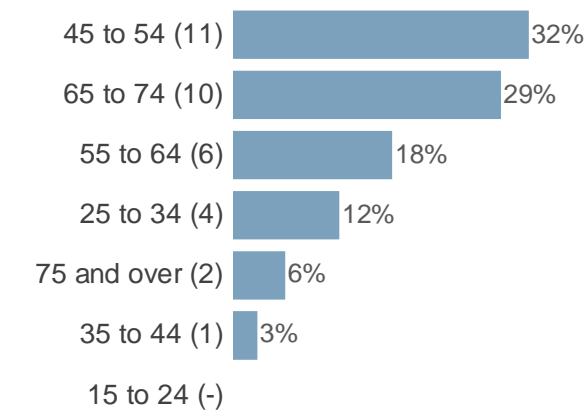
Gender variant????? What horrific wording. Was there any consultation on this?

Same as birth

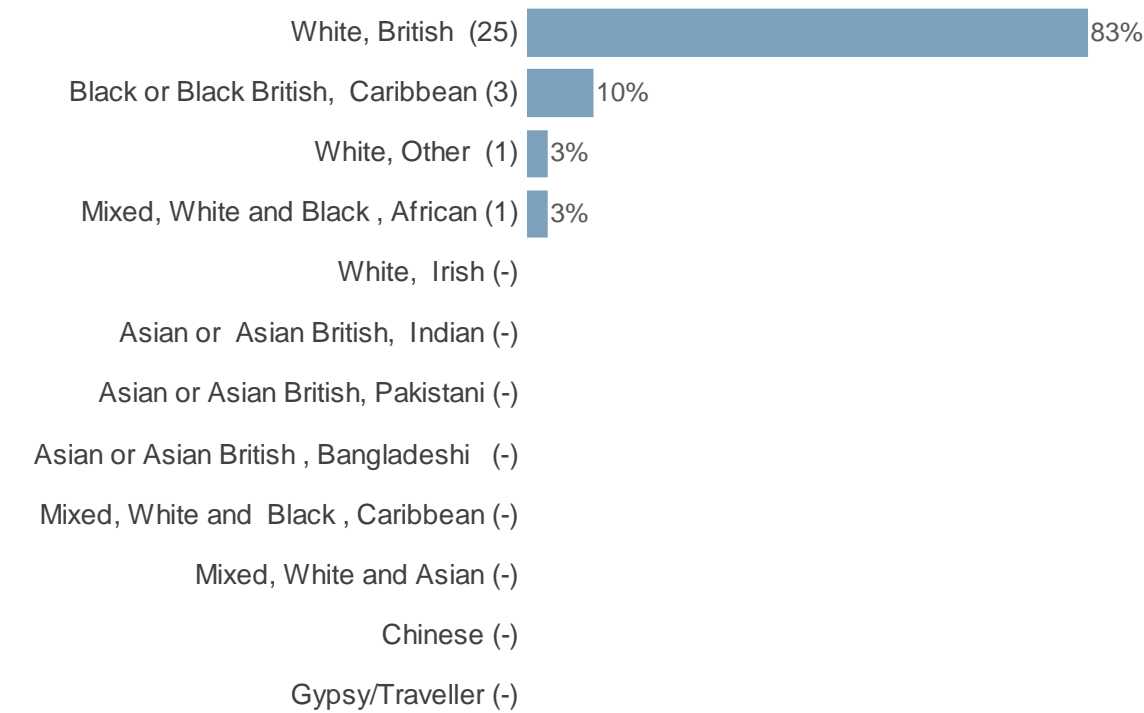
What nonsense are you asking here. There are two sexes. That's all

I dPlease do not conflate sex and gender identity. 2 protected characteristics - 2 questions please

What age group are you in?



To which of these groups do you consider you belong?



Any other background:

- White English
- Not prepared say
- English
- White English

What is your religion?



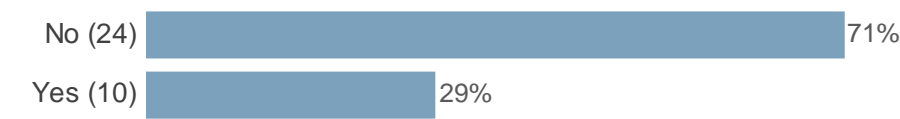
Any other religion:

Not prepared to say

✓

Humanist

Do you have a disability?



Which of the following best describes your sexual orientation?



Other sexual orientation:

Not prepared to say



## Report to Cabinet

**Subject:** Risk Management Framework

**Date:** 28 March 2024

**Author:** Interim Corporate Director

### Wards Affected

All wards

### Purpose

To seek adoption of a new Risk Management Framework which includes a policy, strategy, risk appetite statement and risk management toolkit.

### Key Decision

This is not a key decision.

### Recommendation

#### That Members:

- 1) Adopt the Risk Management Framework at Appendix 1 to this report including the risk appetite statement which sets the Council's overall risk appetite as moderate.

## 1 Background

- 1.1 The Council's current Risk Management Strategy was approved by Cabinet in October 2017 and provides guidance on the processes, procedures, roles and responsibilities for risk and sets out the context on how risks are managed within the Council.
- 1.2 The Accounts and Audit Regulations 2015 require the Council to ensure that it has a sound system of internal controls which includes the effective management of risk. It is key that as the Council takes on more ambitious projects and transforms the way it works both in terms of digital

improvements and service provision, that its risk management processes remain robust.

1.3 Internal auditors have recommended that the Council review and update its current Risk management Strategy and Framework document with a deadline for completion of 31 March 2024. The current Strategy and Framework has been reviewed and a new Risk management Framework is attached at Appendix 1. This Framework is based on an approach which our internal auditors considered to be good practice and was considered by Audit Committee on 19<sup>th</sup> March 2024 and recommended for approval by Cabinet.

1.4 The new Framework includes:

- Risk management Policy Statement – which sets out the organisational approach to risk management and how it will be embedded into the Council’s governance framework and delivery of the Gedling Plan.
- Risk Management Strategy – which sets out what risk management is, why it is important and the legal requirements, the roles and responsibilities of risk management within the Council from members to officers, how risk management will be embedded into the Council’s culture, and how risks are assessed and scored.
- Risk Appetite Statement – which defines the overall level of risk as a Council we are prepared to accept.
- Risk management Toolkit – which provides practical guidance on how risks are identified, scored and managed as well as guidance on appropriate controls to manage risk and how risks will be reported and communicated.

1.5 As part of the Strategy element of the framework, the Council have used the ALARM National Performance Model for Risk Management in Public Services, which provides a self-assessment tool for authorities to grade themselves in terms of how well risk management is embedded within the organisation. The “rating” goes from 1 – 5 across 7 categories. Senior Leadership Team have assessed the Council’s current risk management position at level 3 “Working” – as there are adequate risk processes in place, however under the new Framework it is hoped that the Council will move into the level 4 category “Driving” within the Gedling Plan period to 2027.

1.6 The Risk Appetite statement, is a declaration of the Council’s risk appetite and must be agreed, along with the Framework by Cabinet. Based on the new risk scoring matrix, it is proposed that the Council’s risk appetite level be set at Moderate – Tending always towards exposure to only modest level



of risks in order to achieve acceptable outcomes. It is against this risk appetite level that risks will be assessed and scored. Whilst this is the Council's overall risk appetite, every risk will be assessed and in some instances, a higher level of risk may be acceptable depending on the outcomes delivered. In practical terms this will be visible to Audit Committee through quarterly reporting of risks to the Committee, it will also be considered by the Executive through decision reports and Portfolio Holder meetings.

- 1.7 The Toolkit provides practical guidance on the risk process. It makes clear that risk registers should be maintained both corporately, within departments, for projects, contracts which may contain risk (measured by value of contract or content eg low value but high level of customer data), for ICT and cyber threats. Risk registers must be reviewed regularly and any escalating risks reflected in the Corporate Risk Register where the overall risk score is 12 or above.
- 1.8 Risks will be monitored going forward through the Council's performance management system. A project is shortly commencing to populate the risk management system with the new scoring mechanisms if approved. Reports on risk will then be pulled from the system to report to Senior Leadership team and Audit Committee on a quarterly basis.

## **2 Proposal**

- 2.1 It is proposed that Cabinet adopt the Risk Management Framework at Appendix 1. If approved, there will be a programme of training for staff to embed the new framework and process.

## **3 Alternative Options**

- 3.1 Cabinet could determine not to adopt the Risk Framework or propose an alternative, however it has been prepared based on input from internal audit, and Senior Leadership team and is considered to be fit for purpose by the Audit Committee.

## **4 Financial Implications**

- 4.1 There are no direct financial implications arising from this report. Any training or software implementation costs will be met from existing budgets.

## **5 Legal Implications**

- 5.1 The Accounts and Audit Regulations 2015 require the Council to have sound systems of internal control in relation to risk. This Framework supports this requirement.

## **6 Equalities Implications**

- 6.1 There are no direct equalities implications arising from this report. Impacts in relation to equality should be assessed as part of the risk management process.

## **7 Carbon Reduction/Environmental Sustainability Implications**

- 7.1 There are no carbon reduction/environmental sustainability implications arising from this report. This in itself is a category against risks should be assessed.

## **8 Appendices**

- 8.1 Appendix 1 - Risk Management Framework

## **9 Background papers**

- 9.1 None

**Statutory Officer approval**

**Approved by the Chief Financial Officer**

**Date:**

**Drafted by the Monitoring Officer**

# Risk Management Framework

March 2024

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## Introduction

This Risk Management Framework pulls together a number of key elements to ensure that the Council establishes and maintains effective risk management. The overarching Framework includes;

- i) The Risk Management Policy, Strategy and Risk Appetite Statement which sets out the Council's approach to risk management and;
- ii) The Risk Management Toolkit, which sets out the processes that managers will follow to deliver effective risk management.

## **Part 1 - Risk Management Policy & Strategy**

### **1. Risk Management Policy Statement**

We recognise risk management is a vital activity which underpins and forms part of the vision, values, and corporate priorities of the Council as set out in the Gedling Plan. In addition, by having an effective risk management framework in place it will provide the communities we serve with confidence that we can deliver on the priorities we have promised.

The Council promotes continuous improvement and strives to be efficient and effective in all areas of service delivery. This requires the adoption of new ways of working and a willingness to change which sometimes has risks associated with it.

Risk is always present in every activity that we do, and our risk management framework sets out to be proactive in the identification, assessment, and management of key areas of risk. We seek to embed effective risk management within the operation and decision-making process of the Council. Risk management needs to be an integral part of all processes, projects and strategic decisions made, this will include procurement and contracting arrangements. Wherever we work with partners or third parties we will ensure that they are aware of and work in line with our risk management framework.

Our aim is to have a risk management framework that is fit for purpose and appropriate to the size and nature of our operations. We aim to ensure that our risk management framework has a consistent, well communicated, and formal process operating effectively within the Council.

In order to assist in effective decision making it is essential for us as strategic leaders to define the level of risk exposure that we think is acceptable. This is set out in the Risk Appetite Statement. This should inform decision makers on the level of risk that they can take and areas where additional controls will need to be implemented to manage risks being taken.

The risk management framework and the effective management of risks is a key part of the Governance Framework of the Council. Its implementation will provide assurance to all our stakeholders that risk identification and management has a key role in the delivery of the Gedling Plan and strategic objectives.

The Council accepts its legal and moral duties in taking informed decisions about how best to control and minimise the downside of risk, whilst still maximising opportunity and benefiting from positive outcomes.

Through this framework we will involve, empower, and give ownership to all employees and members to identify and manage risk. Risk management will be supported by regular discussions and appropriate actions by Cabinet and SLT including the regular review of significant risks and reviewing actions to reduce

those risks to an acceptable level. The management of risk will be an integral part of strategic and operational planning, as well as being embedded in the day-to-day operation, development, monitoring, and overview of the Council.

**[Name]**  
**Chief Executive**

**[Name]**  
**Leader of the Council**

## **2. What is Risk Management**

Risk Management is the process whereby an organisation methodically addresses the risks which may stop them from achieving their corporate objectives. The focus of good risk management is the identification and treatment of the risks to minimise any impact or maximise benefit.

A risk is defined as the “effect of uncertainty on objectives” by the International Organisation for Standardisation (ISO 31000). An effect is a positive or negative deviation from what is expected, and that risk is often described by an event, a change in circumstances or a consequence. By accepting this definition, the Council recognises that taking the right risks in an informed way can be beneficial to the objectives and that risk management is not just a negative process used to stop opportunities being taken.

Risk Management should be a continuous and developing process connected with the organisation’s strategy and the delivery of it in the past, present, and future. It should be embedded into the culture of the organisation and led by the most senior leaders and managers.

## **3. Why does the Council need to carry out Risk Management?**

Risk management is a management tool which should form part of the governance system of every public service organisation. When applied appropriately, risk management can be very beneficial. It can help organisations achieve their stated objectives and deliver on intended outcomes. It can also help managers to demonstrate good governance, better understand their risk profile and better mitigate risks (particularly uninsurable risks). Externally it can help the organisation to enhance political and community support and satisfy stakeholders’ expectations on internal control.

The Council does not operate in isolation and is subjected to constant challenges and external changes which may pose a threat to the delivery of the Gedling Plan strategic objectives or provide new opportunities which have to be considered and addressed on an ongoing basis. Risk management processes provide a mechanism by which these issues and their impact can be identified, assessed, monitored and relevant actions taken to address them.

Some of the most recent examples of the landscape the Council operates in include:

- Covid 19 Pandemic
- Cost of living crisis
- Economic downturn
- Limited finances for Local Government
- Organisational resilience pressures
- Recruitment difficulties for key roles



- New ways of working - partnerships, outsourcing, commissioning
- Brexit
- Innovative technologies
- Agile/remote working methods
- Climate Change

Whilst it is good business practice and essential for good governance processes the Council also has a legal requirement to have a risk management process in place.

The Accounts and Audit Regulations 2015 state:

*“A relevant authority must ensure that it has a sound system of internal control which—*

*(a) facilitates the effective exercise of its functions and the achievement of its aims and objectives.*

*(b) ensures that the financial and operational management of the authority is effective; and*

*(c) includes effective arrangements for the management of risk.”*

Ultimately by having an effective, embedded Risk Management Framework in place to influence its decision making the Council can benefit by helping to ensure:

- The objectives set in the Gedling Plan can be delivered.
- All employees and Members understand the desired culture in relation to risk,
- Decisions to take appropriate risks in certain areas can be made from an informed viewpoint.
- The Council can protect its reputation.
- Operational and financial efficiency is ensured as resources are not lost by taking unnecessary risks.
- The Council can maximise opportunities.
- The Council can demonstrate good governance processes.
- Assets are protected.

## 4. Risk Management Strategy

### i. Governance and Infrastructure

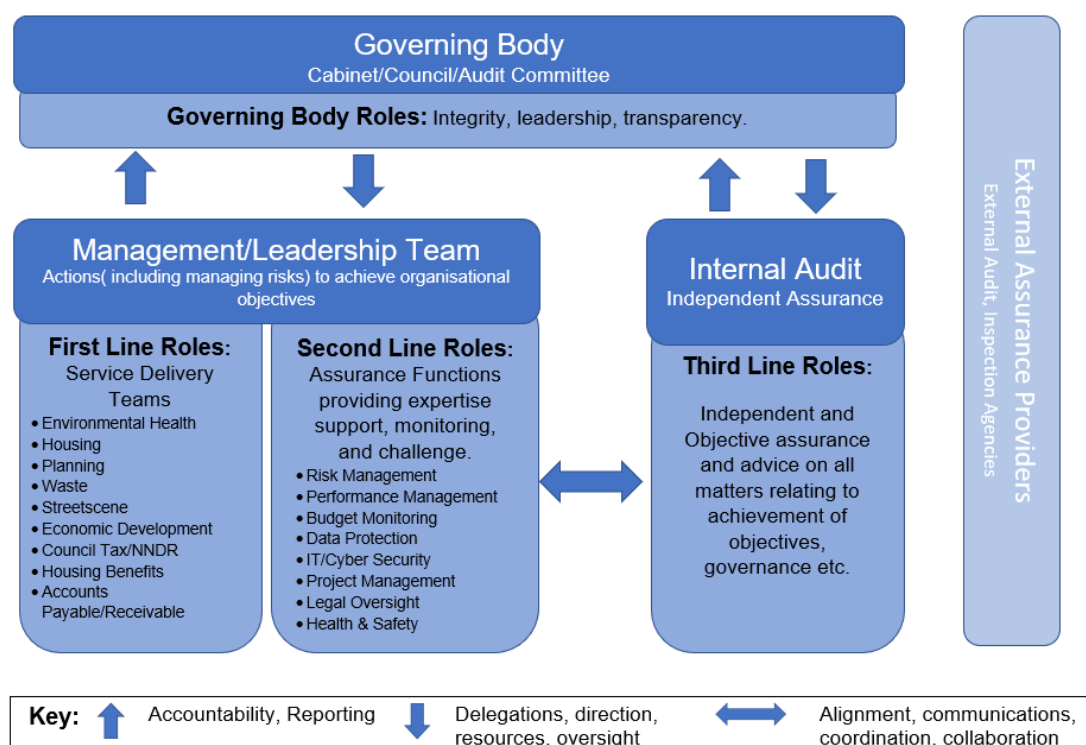
#### Sponsorship and Positioning of Risk Management

Risk Management needs to be embedded throughout the Council and underpin all of its activities. It is a key governance process and needs to have direction and leadership from the very top of the organisation; as well as being relevant and responsive to the staff delivering services on the ground. The risk matrix and risk appetite statement contained in this strategy will be used across the Council to ensure that a collective understanding and language is adopted when talking about risks.

The Cabinet and SLT are responsible for giving direction, approving the Risk Management Framework, and taking ownership of the Corporate Risk Register. They will ensure that all decisions are taken in accordance with the Council's agreed risk appetite.

The Chief Executive will act as the sponsor for the Risk Management Framework at a strategic level and with the support of the Director responsible for Audit and the Chief Financial Officer, will ensure that SLT decisions are taken in line with the Risk Management Framework.

Management and other corporate reporting/assurance functions will help to monitor and report on the effective delivery of the Risk Management Framework in line with the Institute of Internal Auditors' "3 Lines Model" as set out below:



## **Roles and Responsibilities**

All employees and Members have a role to play in the management of risk as it is a key part of day-to-day service delivery and management of the Council. However certain individuals or groups have specific responsibilities in the oversight and implementation of risk management, more detail on these is set out below.

### **Risk Management Sponsor (CEO)**

- Champion risk management at the strategic level.
- Ensure regular discussions are held on Risk Management and the Council's risks.
- Encourage SLT and senior managers to ensure they have effective risk management arrangements in place for their service areas.

### **Risk Manager (Director responsible for Audit and Chief Financial Officer)**

- Coordinate the organisation's risk management activity.
- Develop and maintain with SLT the risk management framework, methodologies, and tools.
- Highlight any significant new or worsening risks to SLT, Audit Committee and the Cabinet for review and action.
- Assist in the delivery of the risk management process and aggregation of risk profiles across the organisation.
- Provide risk management guidance, training, and advice.
- Provide the link between risk management and other related disciplines, for example, insurance, business continuity, emergency planning, and health and safety.
- Promote and share best practice risk management across the organisation.

### **Cabinet**

- Approve the Risk Management Framework which includes policy, strategy, and Risk Appetite for the Council.
- Provide assurance to stakeholders that risks are being effectively managed.
- Within individual portfolios understanding and enabling informed risk within their portfolio areas
- Ensuring application of the Risk management framework to support decision making.

### **Audit Committee**

- Gain assurance over the governance of risk, including leadership, integration of risk management into wider governance arrangements, and the top-level ownership and accountability for risks.
- Support the development and review of the Council's Risk Management Framework.
- Oversee the risk management framework, and its implementation in practice.

- Review key risks to the Council and controls in place via the Corporate Risk Register.
- Oversee the integration of risk management in governance and decision-making processes.
- Review arrangements to coordinate and lead risk management.

### **SLT**

- Regularly review the risk management framework to ensure it underpins the organisation's strategy and objectives.
- Recommended the Risk Management Framework to Cabinet for approval.
- Approve the processes to be used by management to manage and monitor risks.
- Review the key risks across the organisation, consider their importance against strategic objectives and action further controls.
- Allocate sufficient resources to address the top risks.
- Report on key risks and controls in line with the organisation's risk management strategy.
- Create an environment and culture where risk management is promoted, facilitated, and appropriately undertaken by the organisation and is embedded in all decision making.
- Champion risk management activities, educate colleagues, and raise awareness of the benefits of managing risk effectively.
- Follow the risk management process as detailed in the Strategy including maintaining the Corporate Risk Register and monitoring actions.

### **Heads of Service**

- Communicate the benefits of risk management across operational areas for which they are responsible.
- Help facilitate the risk management process and risk reporting procedures across operational areas.
- Help ensure key stakeholder commitment.
- Ensure risk management processes and risk reporting procedures are completed in line with the organisation's risk management framework for each area under team member's responsibilities.
- Monitor and review the key risks in each area of responsibility regularly but quarterly as a minimum.
- Ensure risk management is explicitly considered in framing Service Plans, Projects and business cases.
- Ensure risk management is explicitly reflected in decision making.
- Ensure completion of action plans associated with risk mitigation.

### **Managers**

- Manage risk effectively in each area of responsibility.
- Complete the risk management process and risk reporting procedures as per the organisation's guidelines.

- Complete, track and monitor the progress of action plans.

### **All Employees**

- Understand and comply with the risk management processes and guidelines of the organisation.
- Monitor work on an ongoing basis to identify new and emerging risks and escalate as required.

### **Internal Audit**

- Create an audit plan aligned with the key Corporate Risks.
- Review and challenge the effectiveness of the risk management framework.
- Review the progress of planned actions.
- Test and validate existing controls.

## **ii. Culture**

To be effective in the long term and to support good governance, effective risk management needs to be embedded into the Council's Culture.

It is important that this Culture is seen to run from the top of the Council down. SLT and Senior Managers should set an example to others when it comes to embracing the importance of effective, embedded risk management in all processes. All managers need to support the roll-out of this framework and ensure that risk management processes once established are followed by all employees.

To do this, it will be necessary to provide relevant training and awareness of the Council's Risk Management Framework to all employees. A training and communication plan will be developed to ensure the framework is effectively rolled out and embedded into the Council and that all employees see that they have a vital role to play.

An essential element needed to embed the Council's risk management into the Council's culture is ensuring that there is a collective understanding of risks and that a common language is used when it comes to quantifying and discussing risks. To achieve this the risk matrix within this framework and the definitions for levels of risk should be used consistently across the Council. This adds clarity so that the level and definition of a risk is understood and means the same thing to everyone regardless of which section or function is talking about it. Unless there is a very good reason any assessments associated with risks should utilise the agreed risk matrix and definitions and operate in line with the Council's agreed risk appetite.

It is also important that the Council's Risk Appetite Statement and risk processes are understood by those we work closely with in partnerships and in contracts.

Wherever possible the Council's risk management processes should be used when working with partners and contractors.

All employees and managers need to take ownership and accountability for their role in the Risk Management process as set out in the "roles and responsibilities" section of the strategy. Employees at all levels should be encouraged to raise emerging risks that they have identified with their line managers with the knowledge that the information will be considered and acted on appropriately where necessary.

In addition to training and awareness the Chief Executive, as the Risk Management Sponsor, will oversee the risk management culture at SLT. They will do this by encouraging positive messages relating to risk management and challenging poor risk management practices such as the failure to adequately consider risk implications when making important decisions or the failure to review levels of risk within service areas or complete actions to mitigate risks within agreed timescales.

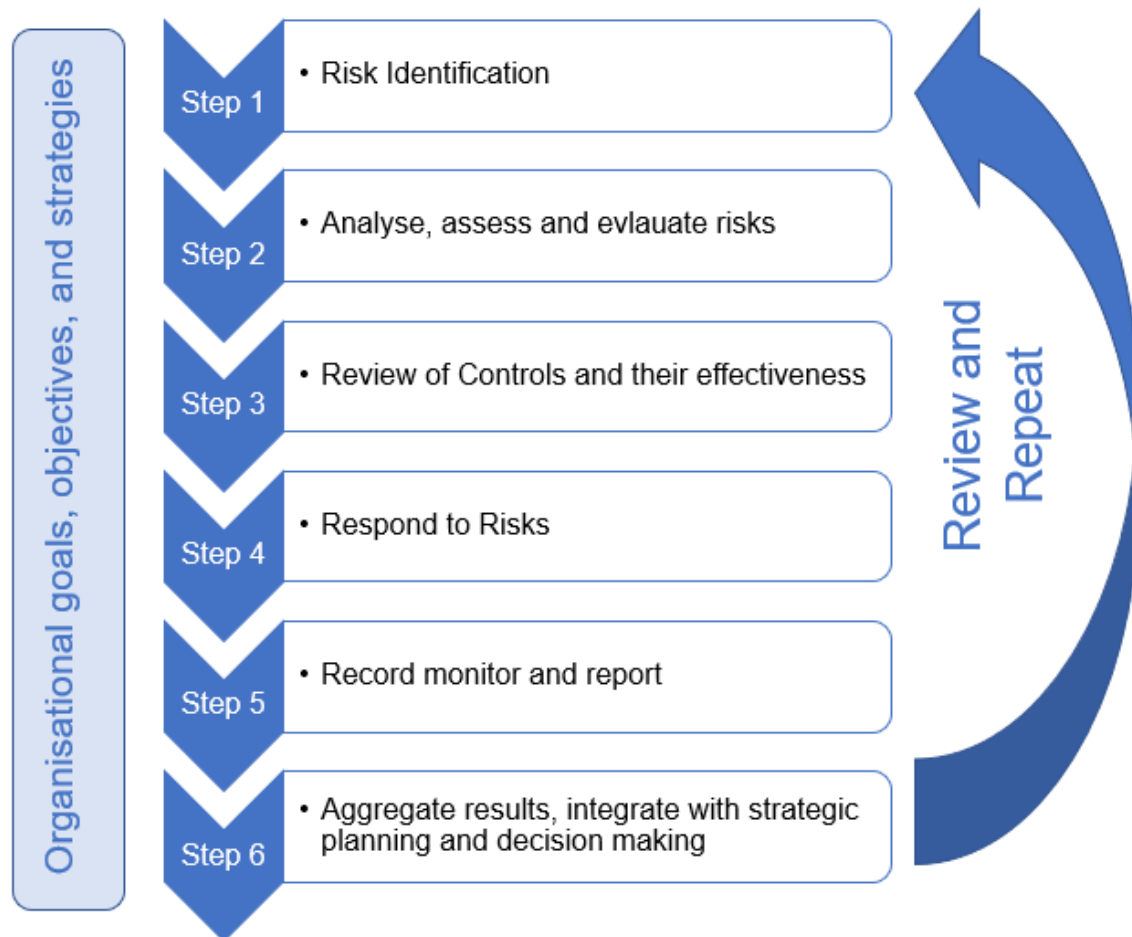
As part of embedding Risk Management into the culture of the Council it is important that everyone understands the current position of Risk Management and where we want to get to. To do this we are adopting the ALARM National Performance Model for Risk Management in Public Services which can be found at appendix 1. An initial assessment has been made by SLT and against each of the criteria. The assessment has shown that the Council is at the current level for each category:

<b>Category</b>	<b>Rating (1-5)</b>
Leadership and Management	3
Strategy and Policy	3
People	3
Partnership, Shared Risk and Resources Processes	3
Processes	3
Risk Handling and Assurance	2
Outcomes and Delivery	2

It is recognised that it is unlikely that the Council will be able to achieve the rating of "5 - Driving" in all categories due to limited resources and competing demands on officer time. Therefore, it has been agreed by SLT that the target will be to achieve at least Level 4 rating- Embedded and Working in each category by April 2025 moving to Level 5 rating - Driving by the end of the Framework 2027.

## 5. Management of Risks

The Council will implement an ongoing cyclical review process for the management of risks. As set out in the diagram below.



## 6. Risk Appetite Statement

Risk appetite can be defined as the amount and type of risk an organisation is willing to accept in the pursuit of its objectives.

The Council's overall risk appetite is set out in reference to the risk appetite definitions below which include the colours used in the risk matrix to show levels the relevant levels of risk. Escalation and reporting thresholds will be reassessed periodically to ensure risks are reported and reviewed within suitable defined limits.

Category	Definition	Risk Levels
<b>Avoid</b>	No appetite. Not prepared to take risk.	N/A
<b>Adverse</b>	Prepared to accept only the very lowest levels of risk, with the preference being for ultra-safe delivery options, while recognising that these will have little or no potential for reward/return	Negligible Risk (Blue)
<b>Cautious</b>	Willing to accept some low risks, while maintaining an overall preference for safe delivery options despite the probability of these having mostly restricted potential for reward/return.	Low Risk (Green)
<b>Moderate</b>	<b>Tending always towards exposure to only modest levels of risk in order to achieve acceptable outcomes</b>	<b>Modest Risk (Yellow)</b>
<b>Open</b>	Prepared to consider all delivery options and select those with the highest probability of productive outcomes, even when there are elevated levels of associated risk.	Medium Risk (Orange)
<b>Hungry</b>	Eager to seek original/creative/pioneering delivery options and to accept the associated substantial risk levels in order to secure successful outcomes and meaningful reward/return.	High Risk (Red)

**Cabinet have agreed that the Council's current overall base risk appetite is defined as moderate.**

This means the Council remains open to innovative ways of working and to pursue options that offer potentially substantial rewards, however, also carry a moderate level of risk. The Council's preference is for safe delivery options, especially for those services required by statute and ideally all actions should be within this agreed risk appetite. This means that options should only be pursued if they can be managed as a yellow or lower risk.

However, in an organisation, such as a local authority, where service delivery is diverse and risks take many forms, risk appetite may vary according to the specific circumstances being assessed. For example, an option may be considered to improve the Town Centre that is seen to have a higher level of risk for the Council than the moderate appetite would allow but where the ultimate outcome would bring significant benefits if successfully implemented.

Where an option or decision is being pursued that is deemed to be at a higher level of risk than Moderate then additional controls/safeguards will need to be put in place. This will include formal agreement from the three Statutory Officers (S151 Officer, Monitoring Officer, and Head of Paid Service) and the appropriate decision maker at member level to pursue the option, and increased levels of monitoring and reporting of the risk will need to be established.



## 7. Risk Matrix

To assist in the management of risks the Council has adopted a 4 x 4 matrix. This has the risk appetite displayed through the use of colour coding of the squares. With the Impact across the top on the x-axis and the likelihood down the side on the y-axis.

	<b>Minor/Non-Disruptive Impact (1)</b>	<b>Moderately Disruptive Impact (2)</b>	<b>Serious Consequences (3)</b>	<b>Major Consequences (4)</b>
<b>Very Likely (4)</b>	<b>4 (Yellow)</b>	<b>8 (Orange)</b>	<b>12 (Red)</b>	<b>16 (Red)</b>
<b>Probable (3)</b>	<b>3 (Yellow)</b>	<b>6 (Orange)</b>	<b>9 (Orange)</b>	<b>12 (Red)</b>
<b>Possible (2)</b>	<b>2 (Green)</b>	<b>4 (Yellow)</b>	<b>6 (Orange)</b>	<b>8 (Orange)</b>
<b>Unlikely (1)</b>	<b>1 (Blue)</b>	<b>2 (Green)</b>	<b>3 (Yellow)</b>	<b>4 (Yellow)</b>

The matrix has been colour coded in line with the Council's risk appetite as follows.

<b>Risk Levels</b>	<b>Colour</b>
Negligible Risk	Blue
Low Risk	Green
Modest Risk	Yellow
Medium Risk	Orange
High Risk	Red

The risk matrix is supported by the following definitions.

## LIKELIHOOD

<b>4</b>	<b>Very Likely</b> >90%	<ul style="list-style-type: none"> <li>• Event expected to occur. Has occurred and will continue to do so without action being taken.</li> <li>• Indication of imminent occurrence</li> <li>• There are external influences which are likely to make our controls ineffective</li> </ul>
<b>3</b>	<b>Probable</b> 60-90%	<ul style="list-style-type: none"> <li>• There is a moderate exposure to the risk.</li> <li>• Reasonable to expect event to occur within a year.</li> <li>• Has occurred in the past.</li> <li>• Is likely to occur within the Council's planning cycle.</li> <li>• There are external influences which may reduce effectiveness of controls</li> </ul>
<b>2</b>	<b>Possible</b> 30-60%	<ul style="list-style-type: none"> <li>• There is a low exposure to the risk.</li> <li>• Little likelihood of event occurring - 1 in 10 years</li> <li>• There is a potential for external influences which may reduce effectiveness of controls</li> </ul>
<b>1</b>	<b>Unlikely</b> 0-30%	<ul style="list-style-type: none"> <li>• Extremely remote</li> <li>• Not expected to occur but may do so in exceptional circumstances - 1 in 100 years.</li> <li>• There are few or no external influences which may reduce effectiveness of controls</li> </ul>

## IMPACT

Score	Description	Indicative Guidelines
<b>4</b>	<b>Major Consequences</b>	<p>The consequence is so bad that urgent action must be taken to improve the situation or prevent it worsening. External support from the Government or other agencies is likely to be needed:</p> <ul style="list-style-type: none"> <li>• Catastrophic loss, delay, or interruption to services</li> <li>• Level of financial loss, additional costs, or loss of assets which the Council is unable to resource without additional Government/External support.</li> <li>• One off event which would de-stabilise the Council over several years.</li> <li>• The risk will cause the objective not to be reached, causing damage to the organisation's</li> </ul>

		<p>reputation.</p> <ul style="list-style-type: none"> <li>• Will attract medium to long-term attention of legislative or regulatory bodies.</li> <li>• Major complaints</li> <li>• Significant adverse media interest</li> <li>• Death or life-threatening injury</li> </ul>
<b>3</b>	<b>Serious Consequences</b>	<p>The consequences are sufficiently serious to require attention by Cabinet and/or full Council:</p> <ul style="list-style-type: none"> <li>• Loss of key assets or services for an extended time period.</li> <li>• Longer term impact on operational efficiency or performance of the Council or crucial service areas</li> <li>• Financial loss, additional costs or loss of assets which would need a Council decision as the scale of the loss would be outside the Council's budget &amp; policy framework.</li> <li>• The risk would destabilise the Council in the short term.</li> <li>• The intended objectives are unlikely to be met leading to negative impact on the Council's reputation and a significant number of complaints.</li> <li>• Will lead to attention for regulators and External Auditors for a significant time.</li> <li>• Major accident/injuries (but not life-threatening)</li> </ul>
<b>2</b>	<b>Moderate/ Disruptive</b>	<p>The consequence is sufficient to require attention by Leadership Team and cannot be managed within a Service Area</p> <ul style="list-style-type: none"> <li>• Significant loss, delay, or interruption to a service.</li> <li>• Medium term impact on operational efficiency or performance</li> <li>• Financial loss, additional costs or loss of assets that is within the Council's budget &amp; policy framework but needs a Statutory Officer decision, Leadership Team decision, Cabinet decision or needs to be drawn to Cabinet's attention.</li> <li>• The risk will cause some elements of the objective to be delayed or not achieved, causing potential damage to the organisation's reputation.</li> <li>• May attract medium to short term attention of legislative or regulatory bodies.</li> <li>• Significant complaints</li> </ul>

		<ul style="list-style-type: none"> <li>• Serious accident / injury (but not life threatening)</li> </ul>
1	<b>Minor/Non-Disruptive</b>	<p>The consequences can be dealt with as part of the normal day-to-day business by the Team Manager and the Head of Service:</p> <ul style="list-style-type: none"> <li>• Minor loss, delay, or interruption to services</li> <li>• Short term impact on operational efficiency or performance</li> <li>• Negligible financial loss</li> <li>• The risk will not substantively impede the achievement of the objective, causing minimal damage to the organisation's reputation.</li> <li>• No or minimal external interest.</li> <li>• Isolated complaints</li> <li>• Minor accident / injury</li> </ul>

## Appendix 1 - ALARM National Performance Model for Risk Management in Public Services

Scale	Leadership & Management	Strategy and Policy	People	"Partnership, Shared Risk and Resources Processes"	Processes	Risk Handling and Assurance	Outcomes and Delivery
Driving 5	Leadership uses consideration of risk to drive excellence through the organisation, with strong support and reward for well managed risk-taking	Strategy and Policy are closely aligned to risk management and the threat of failing to achieve objectives	All staff are empowered to be responsible for risk management. The organisation has a good record of innovation and well-managed risk-taking. Absence of a blame culture	Clear evidence of improved partnership delivery through risk management and that key risks to the community are being effectively managed	Management of risk and uncertainty is well integrated with all key business processes and shown to be a key driver in business success	Clear evidence that risks are being effectively managed throughout the organisation. Considered risk-taking part of the organisational culture	Risk management arrangements clearly acting as a driver for change and linked to plans and planning cycles
Embedded and working 4 Page 129	Leadership is supportive of the risk management process, engages actively and ensures it is embedded throughout the organisation	Risk management principles are reflected in the organisation's strategies and policies. Risk framework is reviewed, developed, refined, and communicated	A core group of people have the skills and knowledge to manage risk effectively and implement the risk management framework. Staff are aware of key risks and their responsibilities	Sound governance arrangements are established. Partners adequately support one another's risk management capability and capacity	A framework of risk management processes in place and used to support service delivery. Robust business continuity management system in place	Evidence that risk management is being effective and useful for the organisation and producing clear benefits. Evidence of innovative risk-taking	Very clear evidence of very significantly improved delivery of all relevant outcomes and showing positive and sustained improvement
Working 3	Leadership take part sporadically in the risk management process and provide some resources	A basic risk strategy and related policies exist and are partially implemented	An individual with Risk Management responsibilities is in place with the correct skills and experience	Risk with partners and suppliers is managed across organisational boundaries but inconsistently	Risk management processes used to support key business processes. Early warning indicators and lessons learned are reported. Critical services	Clear evidence that risk management is being effective in all key areas, capability assessed within a formal assurance framework and against best practice standards	Clear evidence that risk management is supporting delivery of key outcomes in all relevant areas

Scale	Leadership & Management	Strategy and Policy	People	“Partnership, Shared Risk and Resources Processes”	Processes	Risk Handling and Assurance	Outcomes and Delivery
					supported through continuity plans		
Happening 2	Leadership are aware of risk management process but do not actively participate	The need for a risk strategy and risk-related policies has been identified and accepted but not implemented	Risk management is an informal part of a single person's role within the organisation	Approaches for addressing risk with partners are being developed and implemented	Some stand-alone risk processes have been identified and are being developed. The need for service continuity arrangements has been identified	Some evidence that risk management is being effective. Performance monitoring and assurance reporting being developed	Limited evidence that risk management is being effective in, at least, the most relevant areas
Engaging 1 Page 130	Leadership are not providing guidance with regards to risk management objectives, culture, or practices	The need for a risk strategy and risk-related policies has not been identified. The risk management system is undocumented with few formal processes present	No risk management roles or associated skills are in place within the organisation and there is little desire to implement this	No risk management considerations are given to partnerships	No stand-alone risk processes have been developed	No clear evidence that risk management is being effective	No clear evidence of improved outcomes

**Part 2 - Risk Management Toolkit**

## 1. Risk Management Process

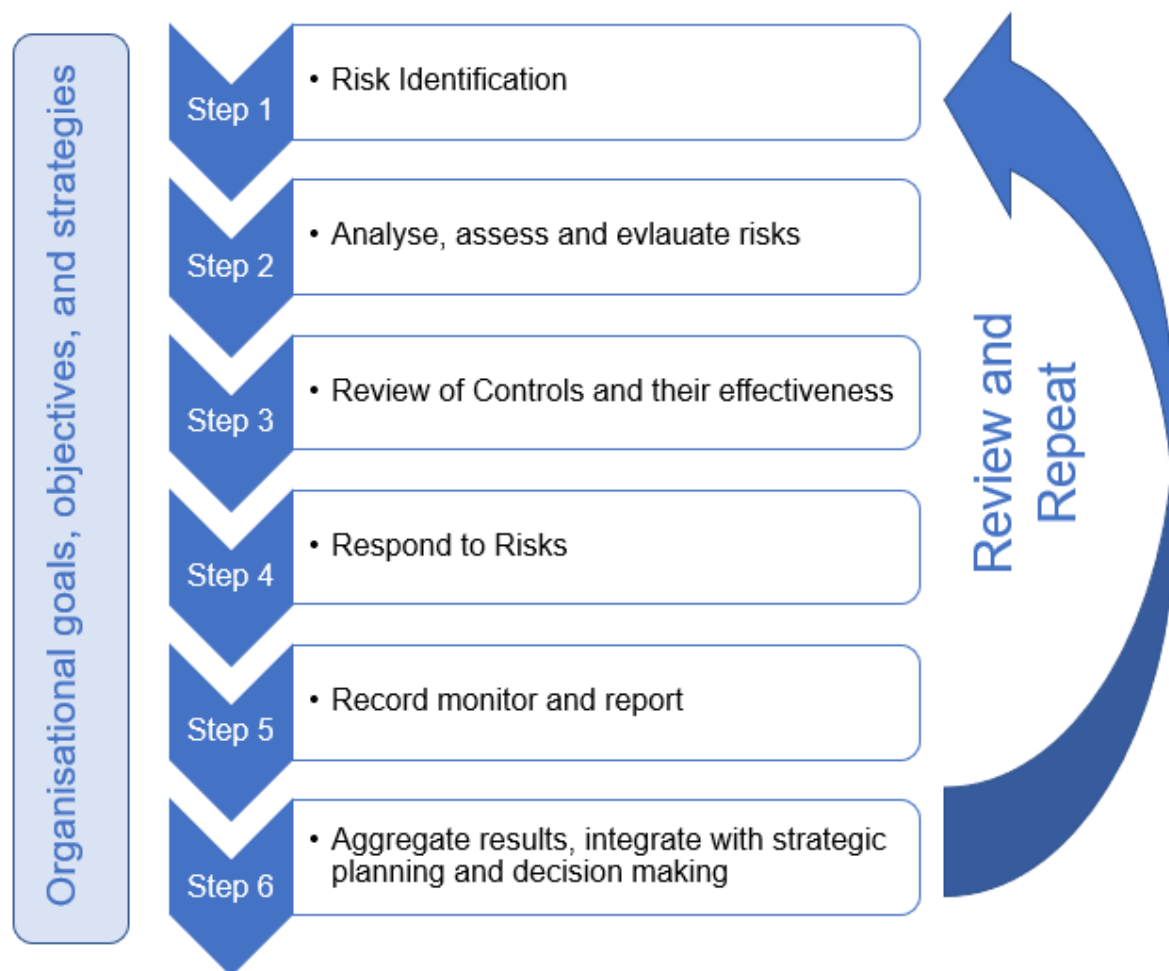
The risk management process is continuous. It involves identifying the risks, prioritising them and implementing actions to mitigate the top risks on an ongoing basis.

Risks to an organisation can have positive and negative impacts, opportunities should be seen as positive risks and if identified early can be managed well, and the benefits realised.

The Council is adopting a risk management process that can be used to identify and score both positive and negative risks. This process should be embedded across the Council to improve informed decision making and increase delivery of the key objectives. All managers and employees should use the tools and techniques when making decisions whether there is a corporate requirement for a formally documented risk register relating to the function/process or not.

The Council's risk management process can be broken down into six steps as shown below.





## i. Risk Identification

Risk identification is one of the first major components of a best practice risk management process. The purpose of risk identification is to generate a comprehensive inventory of risks based on events that might create, prevent, accelerate, or delay the achievement of the organisation's objectives. In order to do this, it is beneficial for all risks to be identified at each level of the organisation; however, we accept that resources are not available to corporately support formal risk registers for all operational functions.

The Council has therefore set a requirement for formal risk registers to be maintained at specific levels of the organisation or for specific reasons, but additional risk registers could be maintained below these to assist managers and to inform the formal risk registers. It is hoped in time that Managers will see the benefit of maintaining risk registers for all of their functions and not just those mandated by this framework.

The first stage of any risk management exercise is to identify the risks that are currently affecting the Council or may do so in the future. To do this a number of steps should be considered.

1. Review the existing risk registers and ask:
  - a. Have any of the existing risks changed significantly?
  - b. Are any risks missing?
  - c. Are there any changes in the next 12 months that could present a risk?
2. Identify new and emerging risks - this could be done via horizon scanning, monitoring relevant industry press, monitoring legislation, known changes to policies.
3. Review previous losses, events, incidents and identify anything useful from the lessons learnt reports.

Risks should not be assessed in isolation and a number of people may be involved in this process including other team or project members. You should use tools such as SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis to try to ensure all areas are covered. Appendix 2 also includes some risk descriptions applied to the Corporate Risk Register which can be used as a guide.

At this stage do not try to limit your thoughts or just roll forward the risks you have previously identified - it is important that you try to include fresh thinking on new and emerging risks every time a risk register is reviewed.

Each risk will be captured in a template on the Council's performance management system and will include:

- a reference number,
- short name
- a description,
- the name of the risk owner (the risk owner should be someone with knowledge of the risk and be senior enough to ensure that all actions are completed)
- the date the risk was first identified and
- the current controls
- Link to the Corporate Risk register reference
- Risk scores (gross, residual, risk appetite)

## ii. **Analyse, assess and evaluate risks.**

Once the risks have been identified it is important to be able to prioritise them in some way so that attention and resources can focus on the areas most likely to have the largest impact on the delivery of the Council's objectives. In order to do this the risks are assessed against two criteria.

- Impact - this is the effect that the risk would have on the delivery of the Council's objectives if it were to occur.
- Likelihood - this is how likely the risk is to occur.

Once scores are calculated we can plot where the risk sits on the risk matrix and give the risk an overall score by multiplying the Impact and Likelihood scores

$$\text{Impact} \times \text{Likelihood} = \text{Risk Score. E.g. } 4 \times 3 = 12$$

The risk score is calculated twice once for the Gross Risk which is the worst-case scenario without any controls in place. The controls already in place to address the risk should then be recorded and the Residual Risk Score is calculated taking the effect of these into account. Finally all risks will be assessed against a target level based on risk appetite.

In order to assist with scoring, a scale for each of these has been determined and these are set out in the risk matrix above. As with the identification of the risks it is useful for more than one person to be involved in the scoring of the risks as this avoids the scoring being skewed by an individual's subjective view.

The way one person sees a risk may differ from another due to many factors including past experience, personal views on the importance of an area and how that person can personally influence the risk. When a group reviews the scores, these personal influences can be smoothed out.

### **iii. Review of controls and their effectiveness**

By calculating both the Gross and Residual Risk Scores it highlights the effectiveness of the controls but also the importance of them operating effectively. Managers may believe a risk is being well managed, but the controls are not operating effectively.

It is therefore important that managers do take some time to assess the effectiveness of the controls that they have in place and make use of other information at their disposal to do this. This should be done at the time the risk register is being produced but also on an ongoing basis as the risk register is being reviewed.

There are many tools which operational managers should be using directly as part of their role as the 1<sup>st</sup> Line such as:

- Sample checking a sample of transactions to see they have followed the correct process/been properly authorised.
- Checking staff are aware of the correct processes to follow.
- 1 to 1s and monitoring of staff.

Managers can also make use of information from the 2<sup>nd</sup> Line functions to give them information relating to the effectiveness of the controls they have in place. Lots of information available to Managers can be considered as Key Risk Indicators (KRI) when used to inform the identification of risks and the success in the implementation of the agreed risk reduction methods. The following could be considered as Key Risk Indicators:

- Customer Complaints
- Data Protection Breach information
- Legal Compliance information
- Vacancy/Sickness data
- Performance Management Information
- Accident reports
- Budget Monitoring information
- Project issue logs
- Implementation Timelines - planned vs actual

Managers can also take account of the findings of Internal Audit work who provide assurance on the effectiveness of controls as the 3<sup>rd</sup> Line function.

#### iv. Response to Risk

Where a risk is found to be at a level that is unacceptable to the Council and outside of its risk appetite then some action is needed to address the risk. There are four main ways that the Council can respond to an unacceptably high risk:

- **Terminate** (avoidance)

the Council can simply avoid the risk altogether where this is possible. So, if it is looking at a new development or project to implement but the risk is very high for little return then we should decide not to progress with that decision. Alternatively, we could decide to stop a high-risk activity that we are carrying out if we do not have to deliver that service. This should be the first response we look to; however, it is recognised that the Council is often not able to avoid high risk/undesirable activities.

- **Treat** (reduction)

We can implement additional controls to reduce the likelihood an/or the impact of a risk to an acceptable level. This is the most common response to a risk that the Council will take. All controls/actions must be SMART actions and monitored through performance management.

- **Transfer**

This involves transferring the cost of the risk to a third-party for example by insurance, contracting out work, or outsourcing the service. This can work in specific situations e.g., transfer a specific function such as Leisure provision or an insurance policy for vehicle damage in an accident, but unfortunately most business risks cannot be managed by this method.

- **Tolerate** (accept)

The Council decides to accept the risk and do nothing. This may be acceptable for low risks but is often not an acceptable solution for the higher more significant risks so should be considered as a last resort option. When using this option, it will still be necessary to monitor and review the risk.

When making the decision on which of the options above you want to follow you should consider:

- Existing best practices to treat the risk.
- Critical controls that you will need to achieve the required risk score reduction as part of the risk treatment or mitigation plan.
- Costs associated with different treatment options against associated benefits.
- How other organisations mitigate the same risk.

### **Action Plan**

Most of the options above require an action plan to be produced, this will need to include the following key information for each SMART action identified against the risk:

- The Action being taken.
- A person responsible making sure the action is completed.
- A target date for the action to be completed.

All actions must be recorded and updated on the performance management system..

## Escalation of Risk

The change of a risk level within Departmental Risk registers may, if the risk level has become unacceptable escalate the corresponding risk on the Corporate risk Register. These escalating risks will be identified and reported through the Council's performance management system and highlighted to SLT and Audit Committee during quarterly review/report of the Corporate Risk Register.

Assessment of risk on individual projects or proposals which are scored above the council's risk appetite level should have been considered by statutory officers and appropriate controls identified prior to presenting such decisions to the relevant executive or non-executive decision makers.

## v. Reporting, Monitoring and Communication

### Risk Registers

The Council has developed a corporate template which should be used for all risk registers completed in relation to Council activities and partnerships. This can be found on the Council's performance management system.

To ensure consistency and compliance with the Council's Risk Appetite the Corporate Template **must be used** to record risks for the following mandated risk registers:

- Corporate Risk Registers (One for each Council)
- Departmental Risk Registers maintained by the Heads of Service
- Risk Registers for Major Projects (including Transformation Projects)
- Risk Registers for Contracts
- Risk Register for ICT and Cyber Threats

SLT will coordinate and collate the Corporate Risk Register with support from Heads of Service who will be responsible for Departmental and other Risk Registers.

Due to limited resources the Risk Management function is unable to provide direct support to assist with the compilation and management of other risk registers but will offer advice and guidance to managers and other employees tasked with compiling them.

Risk Registers should be seen as an essential tool to aid in management decision making and should be recorded and reported to the appropriate bodies and meetings within the Council.

### **Corporate Risk Registers**

This is the Council's overarching risk register setting out the most significant risks that may prevent the Council from achieving its strategic objectives as set out in the Gedling Plan.

The full Corporate Risk Register is compiled and monitored by SLT on a quarterly basis. This includes the Action Plans and progress against the actions.

A summary of the risks along with comments on the current position/progress in dealing with the risk is presented the relevant Audit Committee quarterly.

The Chief Executive will oversee the compilation of the Corporate Risk Registers and Head of Finance & ICT will collate management updates but is not responsible for the content of the Corporate Risk Register.

Where risks are escalated within Departmental or other Risk Registers, above a score of 12, these will be considered in line with the linked Corporate Risk and the Corporate Risk Register updated.

The Corporate Risk register template can be found at appendix 2 to this document.

### **Departmental Risk Registers**

Each of the Heads of Service will maintain a Departmental Risk Register which will set out the key risks for the whole service area, scoring of risks will be in line with this framework. It is anticipated that these will contain more risks than the Corporate Risk Register and should help to identify the highest risks which need to be considered for inclusion in the Corporate Risk Register.

The Departmental Risk Registers can include major risks not directly associated with the achievement of the corporate plan. It is anticipated that the Departmental Risk Registers will capture the most important risks relating to the major projects and contracts in each area as well as the key operational risks being faced relating to service delivery.



Departmental Risk Registers will be monitored by the relevant Director and their Heads of Service but can be shared with SLT for information purposes and to assist with the compilation and review of the Corporate Risk Register. They will not routinely be reported to Members or Committees.

### **Project Risk Registers**

These must be completed at the planning stages and throughout the life of the project as part of project initiation through to delivery. The Project Manager is responsible for ensuring that a risk register is completed. The risk register should be updated regularly and monitored by the Project Board and Project Sponsor. The Risk register should be scored in line with this framework.

Where external Project Managers take on the role of compiling risk registers, they should be asked to use the Corporate Template and Risk Matrix, or approval must be sought in advance to use an alternative format. Where an external person/organisation takes ownership of the risk register for a project managers need to ensure it covers all of the risks and not just those the third party considers important. Where necessary a Council specific risk register should also be compiled for the project to ensure all risks are captured for example to include a risk that the third-party project manager fails to deliver to agreed specification/timescale. Managers should not look to delegate their role and responsibilities in the risk management process to a third party.

Key risk from Project Risk Registers may be escalated to Directorate Risk Registers and ultimately the Strategic Risk Register.

### **Contract Risk Registers**

A risk register must be completed as part of the management of all strategically important contracts and partnerships. For example, acquisition of key software solutions, significant outsourcing contracts or contracts that support key functions of the Council. As a general guide contracts with a value in excess of £10,000 may require a risk assessment depending on their significance, contracts over £75,000 will require a risk assessment. They should be completed by the relevant Team Managers and monitored by the Head of Service.

The details in these risk registers should help to inform decision making in relation to the management and monitoring of the Contract/Partnership and should help to improve the quality of risk management implications when any committee reports are prepared in relation to the Contract/Partnership.

Key risks from Contract/Partnership risk registers may be escalated into the Directorate Risk Registers and ultimately the Corporate Risk Register.

## ICT/Cyber Risks

A risk register must be completed to assess the Council's risk of cyber or ICT security issues. This should be completed by the ICT team and may be impacted by the acquisition of new software solutions.

The details in these risk registers should help to inform decision making in relation to the management and security of the Council's digital systems and networks and should help to improve the quality of risk management implications when any decisions are taken in relation to ICT infrastructure. In addition, the risk register will identify controls required or in place to manage such security risks.

Key risks from cyber risk registers may be escalated into the Directorate Risk Registers and ultimately the Corporate Risk Register. Details on this register are likely to be confidential and access restrictions to this register will be put in place to ensure any insecurities, if applicable are not placed in the public domain thereby increasing risk.

## Risk Management Reports

When reporting and monitoring risk registers quarterly, it is important the following information is provided to the people/committee receiving the update:

- assurance that all exposure to risk has been identified, assessed and relevant mitigating control evaluated,
- Clear record of any SMART actions to mitigate risk and progress against those actions.
- a view on whether the exposure the risk is increasing or decreasing for the Council,
- links between different levels of risk registers where relevant,
- how the results of the risk management process are informing decision making,
- the risk management framework and in particular the risk appetite and scoring has been applied consistently across the Council.

Below the Corporate Risk Register it is more important that the risk registers are living documents, regularly monitored, and used to inform decision making by the relevant managers rather than being reported periodically as the focus of a detailed formal reports. They should be reviewed and updated on a quarterly basis as a minimum.

## **Risk Monitoring**

There are two key elements for managers to consider when monitoring risks:

### **1. Monitoring risk response effectiveness**

As the Council and the environment it operates in is constantly changing, it is important to regularly review the risk register to ensure that the risks and agreed actions to mitigate them are still appropriate and being effective.

The use of Key Risk Indicators and the work of Internal Audit are tools that can help managers to monitor the effectiveness of risk responses.

### **2. Monitoring the risk profile**

The Council's risk profile will be constantly changing with changes in the strategic direction of the Council and the impact of external factors such as Government policy, new initiatives, emerging issues. When monitoring the risk profile, it is always good to start with these three basic questions:

- Are there any risks missing from the risk register that should be included?
- Have any of the risks in the risk register changed significantly in terms of impact and/or likelihood and require additional mitigation efforts?
- Is there anything planned in the next 12 months that may give rise to a key risk?

## **vi. Integration with Strategic Planning and Decision Making**

Risk Management and Strategic Planning are fundamentally linked, and it is impossible to carry one out effectively without the other. Strategic Planning is about deciding what the Council is trying to achieve in the medium to long term. Risk Management is about identifying the risks that may stop the Council from achieving those strategic goals.

Whilst it is important that risks are managed at all levels of the Council and for all activities we deliver; with limited resources it is important that the majority of the effort is targeted on the identification and management of risks that could affect the corporate objectives.

When taking decisions, officers and members need clear information about the risks associated with that decision so information about risks should be included in all decision reports.

SLT have a responsibility in ensuring decision reports with poor or missing risk implications do not progress.

Heads of Service should take responsibility for ensuring all reports in their Service area have appropriate risk implications set out before the report is submitted to SLT for review.

## Appendix 2 - Corporate Risk Register Template

The risk category and descriptors are given as a prompt to help you to identify the operational risks in services and forms the basis of the Corporate Risk Register. The list is not exhaustive and is only a guide. In departmental registers you should also consider risks that are specific to your service area.

Many risk categories overlap and/or can be considered to be consequences of another category, however the risk category allocated should be based on the 'root cause' of the risk (e.g., an IT system failure may cause financial or reputational consequences but the 'root cause' lies within the IT / Technology category)

This is only a template, the risk registers will be held on the performance management system so may look slightly different in lay out but all information should be captured. At each quarterly review the risk escalation or de-escalation will be identified.

Risk Ref No	Corporate Risk	Descriptor	Gedling Plan Objective	Risk Owner	Key Risk driver	Gross Risk	Risk Appetite	Residual Risk	Controls
1	Financial	This refers to the ability of the Council to meet its financial commitments and/or the scale and pace of budget cuts. This relates to income and expenditure and							

		includes internal budgetary pressures, savings/growth considerations, external economic changes etc.							
2	<b>Capacity/Service Delivery</b>	This is about ensuring that sufficient capacity is available to deliver services which meet statutory obligations, Council objectives etc and public expectation.							
3	<b>Health and safety at Work</b>	This refers to Occupational Health & Safety							
4	<b>Environmental</b>	This refers to the environmental impact on the public – it could be related to virus type illnesses or environmental incidents such as flooding which impact on health or related to events which have an impact on the natural environment such as pollution/contamination							
5	<b>Contractual/partnership</b>	This refers to both the risks regarding							

		partnership / contractual activities and the risks associated with the partnership / contract delivering services to the agreed cost and specification.							
6	<b>Reputation</b>	This relates to public perception / expectation and the impact of media attention.							
7	<b>Infrastructure/Assets</b>	This looks at the loss, protection and damage of physical assets and takes into account the need to maintain, protect, insure and plan for unexpected loss.							
8	<b>Legislative</b>	This refers to changes to and breaches of current law leading to additional workloads, fines, intervention by regulatory bodies etc.							
9	<b>IT/Technology</b>	This relates not only to the impact of Internal technology failure but also changing technological demands							

		and the ability to meet the pace and scale of change.							
10	<b>Projects</b>	This relates to the effective management of projects to achieve delivery that is on time, to budget and that meet the needs of the organization.							
11	<b>Fraud/bribery/Misconduct</b>	Relates to improper actions committed against the Council either internally or by third parties. Including frauds, bribery, money laundering and misconduct e.g., theft, falsification of timesheets.							
12	<b>Service Standards/performance Management</b>	This relates to the setting of acceptable standards and levels of output for a service area and the processes put in place to ensure these are delivered and managed appropriately							
13	<b>Information/data</b>	Security – this relates to physical and IT security on site and in-							



		transit or inappropriate disclosure of information.							
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## Report to Cabinet

**Subject:** Digital Data and Technology Strategy

**Date:** 28 March 2024

**Author:** Interim Corporate Director

### Wards Affected

All wards

### Purpose

To seek adoption of the Digital, Data and Technology Strategy which will drive improvement in the way the Council delivers its services and create more efficient ways of working.

### Key decision

This is not a key decision.

### Recommendation

#### That Members:

- 1) Adopt the Digital, Data and Technology Strategy at Appendix 1

## 1 Background

- 1.1 A baseline review of the Council's ICT function undertaken during Covid-19, recommended that the Council needed to develop a clear strategy around ICT provision, this was supported by internal audit recommendations which provided that a strategy to manage ICT procurement, delivery and risk was needed. Furthermore, through service review, particularly in Customer Services it has been identified that whilst the Council operates a number of different ICT systems, the experience of managing those systems and serving the customer effectively is challenging.

- 1.2 As part of the Gedling Plan 2023-27, digital improvements to services was recognised as a key requirement under the Council's priorities and in summer 2023, an internal Digital Transformation team was established combining staff from ICT and other departments to take a wider, corporate look at ICT throughout the organisation and the customer experience.
- 1.3 In order to support the creation of an ICT strategy, the Council procured the services of Change Network to work with the Council to create the strategy, provide a roadmap for delivery of the strategy and to advise on the best operating model for the Council's ICT function.
- 1.4 Change Network undertook a discovery exercise engaging with officers and members through a series of 40 face to face sessions across the organisation, including engagement with Corporate Management team and conducting observations in the customer contact centre. In addition, Change Network considered more than 50 pieces of information including the Gedling Plan, MTFP, risk registers, information asset registers, performance data, customer services metrics and the Digital Exclusion Risk Index for Gedling Borough.
- 1.5 Change Network used the evidence from discovery to create a draft ICT Strategy, roadmap and target operating model for ICT. The strategy was considered by the Digital Transformation team and presented to Corporate Management team for consideration. The final draft is now presented to Cabinet for adoption.
- 1.6 The strategy has been named the "Digital, Data and Technology Strategy" and provides the following as the overriding vision:

*"To ensure easy to use, responsive and efficient services enabled by reliable and secure solutions that make best use of data to help improve lives."*

- 1.7 Beneath this digital vision there are a number of key outcomes established for the strategy, namely that the Council wants to:
  - Be more joined up
  - Deliver easy to use services
  - Create more efficient ways of working
  - Ensure responsive, reliable services
  - Maintain security of data
  - Make better use of data insights in decision making

To support these outcomes the strategy sets out principles to achieve the objectives, including taking a one Council approach to governance, prioritisation

and design, considering people as part of the change, designing services end to end, and having effective risk management.

1.8 The strategy identifies four key workstreams:

- Digitally enabled Customer experience
- Smarter Working
- Data and Information management
- Community Engagement and Inclusion

1.9 Under each workstream the strategy sets out the scope of the work, the objectives, the outputs for year one and the benefits to be realised. The strategy provides clear outputs and is easy to read. In terms of outputs for year one, some of the key outputs are:

- Develop a business case for investment into a Customer Relationship Management System including programme design and mobilisation to support implementation.
- Introduce a governance process to support changes
- Create a set of core data standards and controls and review data management processes
- Migrate finance systems to the cloud
- Update employee standards to include digital standards
- Support staff and members in the use of technologies deployed through workforce development
- Establish a digital inclusion partnership network
- Engage the community in the development and testing of digital services

1.10 In order to deliver the strategy, there are a number of critical enablers which need to be in place to ensure effective delivery of the strategy both within ICT and more widely across the organisation. The strategy sets out what those enablers are, which include clear governance and prioritisation arrangements, the right resource in the right places including ICT, project management and leadership resource. The strategy also sets out levels of responsibility for implementation of the strategy and how success will be measured through better data use, feedback and performance reporting.

- 1.11 It is recognised that there has been a significant change in the digital landscape over the last few years, customers operate in the world of Netflix and Amazon where service delivery is expected to be quick and effortless for the customer. Customer expectation is high, and needs, particularly amongst some of our vulnerable customers are great, and this is balanced against a Council with limited capacity and funding.
- 1.12 It has been recognised through the approval of the budget that investment is necessary in order to improve services and deliver change through the organisation. The Digital, Data and Technology Strategy is a key component to deliver this change. The document is also key to support the recently mandated Council Productivity Plans which are required by July 2024 to demonstrate how the Council can improve productivity including through digital change and efficiency of services.
- 1.13 The Strategy represents a huge change in the way the Council will work and not just in the ICT sphere. The strategy will be reviewed annually to reflect progress.

## **2 Proposal**

- 2.1 It is proposed that Cabinet adopt the Digital, Data and Technology Strategy.

## **3 Alternative Options**

- 3.1 Cabinet could determine not to adopt the strategy, however what is clear is that the Council does need to move forward and establish more efficient ways to deliver services and work smarter. Budget and capacity pressures have demonstrated that the Council must change to ensure it continues to deliver services with ever reducing budgets and higher demands. There are some risks around capacity, data, budget and service levels which this strategy seeks to reduce and without these changes, the Council's risk exposure will increase.

## **4 Financial Implications**

- 4.1 There are a number of workstreams and outputs set out within the strategy that will require investment in order to deliver efficiency in the longer term. The investment will include both Revenue & Capital expenditure, budgets were approved at full Council on 21 February 2024.

Revenue Costs include staffing costs and ongoing system costs. Some of the staffing costs can be capitalised for the initial period of transformation of 2 years, after this phase the staffing costs will then become on-going revenue costs. Revenue costs will be funded by earmarked reserves in the first instance and replaced by efficiencies in the medium to the longer term. Table 1 below sets out the revenue Costs over the five-year medium-term plan.

<b>Table 1: Revenue Costs of Digital Data &amp; Technology Strategy</b>					
	<b>2024/25</b>	<b>2025/26</b>	<b>2026/27</b>	<b>2027/28</b>	<b>2028/29</b>
Costs	163,200	561,100	675,100	675,100	675,100
<b>Funded by:</b>					
Earmarked Reserves	(163,200)	(461,100)	(475,100)	(375,100)	(175,100)
Future Efficiencies		(100,000)	(200,000)	(300,000)	(500,000)
<b>Total Net Revenue Budget</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

The Capital costs include system costs, and project implementation costs which include an amount of capitalised salaries in the first 2 years. The initial capital costs of the project are expected to be financed through the use of capital receipts which is permitted under the direction for flexible use of capital receipts as set out in the Local Government Act 2003 sections 16(2)(b) and 20: Treatment of Costs as Capital Expenditure, with the appropriate approvals

Table 2 below sets out the capital costs which have been included in the capital programme.

<b>Table 2: Capital Costs of Digital Data &amp; Technology Strategy</b>				
	<b>2024/25</b>	<b>2025/26</b>	<b>2026/27</b>	<b>Total</b>
System Costs	805,200	576,800	179,600	1,561,600
Project implementation Costs	159,500	212,600	53,100	425,200
<b>Total Capital</b>	<b>964,700</b>	<b>799,400</b>	<b>232,700</b>	<b>1,986,800</b>

The costs of the road map have been included in the capital programme, but approval of expenditure will be subject to a Full Business Case being presented to Cabinet (at a later date) which sets out a viable financial model including efficiencies that will be delivered as part of the project. In addition, in order to utilise the direction for flexible use of capital receipts a strategy must be developed and presented to Full Council for approval prior to being approved by the Secretary of State.

## **5 Legal Implications**

- 5.1 There is no specific legal requirement to produce a Digital, Data and Technology Strategy, however, good governance and control around ICT projects, and data management and security will ensure better compliance with regulatory requirements and support a more effective organisation overall. The strategy also supports the wider need for Productivity Plans to be produced for the Council.

## **6 Equalities Implications**

- 6.1 As part of the strategy in particular the Community Inclusion and Engagement strand, it is recognised that not all of our customers are able to use digital

technology for a variety of reasons. This may be linked to a particular protected characteristic. Smarter ways of working will free up some capacity in the organisation, particularly front- line services to support those customers who cannot access digital channels. In addition, where customers can access digital channels but need support the digital inclusion programme will help support those customers. A full EIA is attached.

## **7 Carbon Reduction/Environmental Sustainability Implications**

7.1 A carbon impact Assessment is attached to this report.

## **8 Appendices**

8.1 Appendix 1 – Digital, data and technology strategy

Appendix 2 - Equality impact Assessment

Appendix 3 - Carbon impact Assessment

## **9 Background papers**

9.1 None

**Statutory Officer approval**

**Approved by the Chief Financial Officer**

**Date:**

**Drafted by the Monitoring Officer**



# Digital, Data and Technology Strategy

2024 – 2027



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# Foreword

Our council vision **‘serving people, improving lives’** is at the heart of everything we do.

Rightly, residents expect our services to be responsive, reliable and secure, and our decision making to be evidence-based and transparent.

None of those things are achievable without access to accurate and timely data, or without the systems on which the council relies day to day.

We are already a digital Council. Technology underpins almost everything we do, helping our employees to work efficiently, to collaborate with one another and with our partners, and provides us with the systems that support the running of our services.

But we know there is more to do. To meet the expectations of the people we serve in a world that is changing rapidly, we cannot afford to stand still.

Our residents tell us they want to be able to request services 24/7, to track where their requests are up to in real time and to be able to do more things online. They also want us to get more things done right first time and use what they tell us to improve our services on an ongoing basis.

Our employees tell us they want to improve how they deliver services by making better use of the technology we already have, and by us better joining up how we work.

Finally, our budget position and reductions in funding at a time when demand and costs are increasing, means we simply cannot afford to do things the same way we have always done. We need to change, to accelerate the pace of modernisation, and to make maximum use of the technology available to us so we can continue to provide high quality services while maintaining low long-term operating costs.

This Strategy includes initiatives already underway and investments that are needed to take us forward to meet the Council’s ambitions. In the first year of this Strategy, our focus is on re-setting our ICT foundations to ensure that as we make greater use of technology, we have the modern capabilities and capacity needed to support our wider ambitions. We will also focus squarely on the needs of our customers - implementing new technologies and ways of working that give us flexible, joined up solutions so that we can deliver more efficient and effective services that meet their needs, as well as ensuring our staff have the confidence and skills needed to make the best use of the technologies we implement.





We know that during the life of the Strategy things will change. To manage this, we will create a framework for ICT delivery that means we hold fast to our vision and principles and can adapt our delivery plans as things change, ensuring we have the agility to respond to changing circumstances.

Finally, as we become more digital, it's important we are inclusive and that we support our communities appropriately. While data tells us that most people in Gedling can, and want, to use digital services, we know there are some that can't, or don't. We need to ensure we design our services to be inclusive and meet everyone's needs, so that by creating more efficient services using technology, we can continue to create the capacity to support people who need our help the most.

**Mike Hill**, *Chief Executive*

# 1

# Introduction





Gedling's Digital, Data and Technology Strategy is central to the Council's transformation efforts and a critical enabler of more customer-centric, efficient ways of working. It sets the direction for how we will deliver better services for customers and how we will organise ourselves more efficiently, enabled by Council wide standards and approaches to service design, underpinned by joined up data and technology solutions.

**At the heart of the strategy are six target outcomes. Our approach to Digital, Data and Technology will support us to:**

- Be more joined up.
- Deliver easy to use services.
- Create more efficient ways of working.
- Ensure responsive, reliable services.
- Keep our data secure.
- Make better use of data insights in our decision making.

The Digital, Data and Technology Strategy supports The Gedling Plan 2023 – 2027, with an overall vision of "Serving People, Improving Lives" and four priority areas of focus:





# 2 Purpose





The purpose of this strategy is to provide a clear vision and direction for Digital, Data and Technology within Gedling over the next three years. It sets out our ambitions for improving our ways of working by making better use of technology, with the aim of helping us to become more efficient and customer focused in how we deliver our services.





The following chart shows how the Digital, Data and Technology Strategy supports aspects of the Gedling Plan.

Strategic theme	To achieve this, over the course of this Strategy we will:
<p><b>Economy</b> Skills and employment Business Town and local centres Visitors</p> <p><b>Community</b> Poverty and the vulnerable Children and young people Equality, Diversity and Social Inclusion Health and Wellbeing</p> <p><b>The Council</b> Customer engagement Innovation and improvement Governance and compliance Financial management Healthy workplace</p> <p><b>Place</b> Cleanliness, environment and climate change Pride of place Community protection Housing</p>	<ul style="list-style-type: none"> <li>• Bring data together to better understand our customers, their needs, and their experience of interacting with the Council.</li> <li>• Use digital technologies to support customers who can self-serve to do so, so we create capacity necessary to support our most vulnerable residents.</li> <li>• Use data, digital and technology to innovate and transform our services, improving outcomes and enabling more efficient ways of working.</li> <li>• Improve the resilience of our technical infrastructure to ensure service continuity is maintained.</li> <li>• Manage our data effectively to ensure personal information about people is secure and managed in compliance with the law.</li> <li>• Present the data held in our systems in ways that enable us to make sound decisions about our finances and our assets and to help us to manage our resources wisely.</li> <li>• Support our colleagues and communities to develop digital skills and capabilities, including enabling digital inclusion.</li> <li>• Design our services in an inclusive way, considering the needs of all our customers.</li> <li>• Maximise the use of digital technologies in the efficient promotion and delivery of health and wellbeing activity.</li> <li>• Seek to minimise our carbon footprint by using technology to optimise how we deliver our operational services.</li> <li>• Support the cleanliness of our environment by ensuring timely access to customer feedback about environmental service provision so that action can be taken to address local environmental issues.</li> </ul>

# 3 Scope



The scope of this Strategy includes:

## **Digital, Data and Technology Governance**

- How digital, data and technology change is embedded into wider change management across the Council.
- How work is prioritised.
- How solutions are specified, procured and managed.
- Creation of principles and standards.

## **Digital**

- How customer access channels (web, telephone, social media, face to face) operate together.
- How digital services are designed and built.
- How the Council ensures services are easy to use and accessible to everyone.
- How employees are enabled to work efficiently and effectively.

## **Data**

- How data is governed, managed and used.
- How data architecture is factored into decision making about systems and processes.
- How data insights are enabled.

## **Technology and ICT service management**

- Applications
- Infrastructure and connectivity
- ICT and data security
- End user services
- Day to day ICT support services



# 4 Background - where are we now?



Before developing our future plans, it is important to understand our starting point. This includes considering the challenges and opportunities presented by the external environment and identifying our internal strengths and weaknesses.

## **4.1 Our external environment**

### **4.1.1 Changing expectations**

The use of technology in our customers' day to day lives has grown significantly in recent years, even more so since the Covid pandemic. With more of our customers accessing services online, there is a growing expectation that customers can get what they need 24/7 and that they choose how to interact based on their needs.

The data we hold tells us that customers want services that are responsive and provide real-time 'Amazon like' tracking and updates, which in turn helps the Council to be more efficient overall by minimising customer chase ups and complaints.

### **4.1.2 The need to be able to access services and work from anywhere**

For our colleagues: This means being able to access technology and information when and where they are working so that they can help our customers and deliver services 'on the move'. We recognise that our colleagues have different levels of technical skills, so require intuitive devices, applications and training. These tools should make it easier to complete tasks efficiently and deliver an excellent technology-enabled customer service.

For our customers: We want to ensure our customers can contact us in ways and at times of their choosing, which in turn means we must make better use of digital technology to provide customers with self-service opportunities and colleagues with the tools and information they need to deliver 'one and done' services. This does not just offer more flexible options to customers, but additionally, it should remove some of the transactional workload to allow our teams to focus on value-added activities and more complex work items.

### **4.1.3 Inclusivity**

Despite growing demand for online services, we know that not everyone wants to contact us online and some of our customers might not have the skills, confidence or access to do so. We know that more than 2% of our colleagues and more than 18% of our customers have a disability or a long term physical or mental health condition. Information from the national Digital Exclusion Risk Index indicates that there are small pockets of the borough that are more at risk of being excluded than others and it is important that we take these needs into account when we are designing our services.



#### 4.1.4 Focus on data – security, cyber risk and integrity

Our strategic risk register includes cyber and data security risk. Across the public sector there have been several high-profile data security incidents in recent years.

Beyond ensuring our data is accurate and up to date to enable service delivery, increasingly councils are making use of data to enable preventative and predictive services. The use of the 'Internet of Things' (IOT) devices to help people live independently at home for longer and to understand the performance of assets are good examples of this, with some organisations starting to use predictive analysis to better understand their service demand profile and offer pre-emptive service delivery and others using predictive solutions to take more targeted approach to income collection.

It is critical that our data is well managed and while ICT does not hold direct responsibility for the quality of the data itself, the ICT team has a key role to play in relation to data security and in supporting an active data management culture, working with colleagues across the organisation to achieve this.



## **4.2 Our internal environment**

### **4.2.1 The need for efficient ways of working**

Like most councils, Gedling is facing significant financial challenges because of a combination of rising costs and demand pressures against a backdrop of reducing Council budgets. The Council can no longer afford to operate in ways that it has done previously and needs to look to digital ways of working to enable the council to put the 'people' effort where it matters the most. It is only by doing this that the Council will ensure services remain sustainable into the long term.

### **4.2.2 More joined up ways of working**

To support the delivery of joined up services to customers, the way that the Council is approaching service planning across the Council is changing, with a greater focus on cross cutting themes and outcomes and less focus on individual service needs. In tandem we are looking to introduce improved governance of Council wide change, including a corporate prioritisation approach that ensures we focus our limited resources on our highest priorities. Effective prioritisation and management of capacity is a necessary foundation for the delivery of efficient ICT services and customer focused solutions.

### **4.2.3 Building on progress to date**

Over the lifetime of our previous ICT Strategy, we sought to improve the resident experience and access to information through online channels, and enabled remote working for our teams, in turn building greater operational resilience and supporting service delivery. Our new Strategy gives us the opportunity to build on these successes to maximise the value of technology council-wide, ensuring flexible, stable and scalable services that enable process efficiency and help to reduce the overall the cost to serve.

### **4.2.4 Key business applications**

Over the next three years several of our key business applications will need replacing or upgrading, including our finance system and website content management system. To ensure our systems remain well supported and we are compliant with procurement regulations, our roadmap will contain some 'must do' activities relating to upgrades, migrations and system selection an implementation.

There are also opportunities to build on the work we have begun to digitise services such as waste, by introducing technologies that enable us to track end to end delivery, so our customers and our team members can see exactly where things are up to.

## 4.2.5 Resilience

Technical resilience is a cornerstone of the Council's Business Continuity Plan and relies on us having robust back up plans in place for our main systems.

While we already have Business Continuity and Disaster Recovery Plans in place, there is more work to be done to ensure that risks are fully mitigated. Over the course of the Strategy this will require us reviewing our technical continuity and recovery arrangements and considering which services may be more resilient in the Cloud, as well as considering the physical aspects of our infrastructure.

## 4.2.6 Digital and ICT leadership

ICT solutions underpin and enable almost everything the Council does. To date, the Council's ICT service has largely operated as a 'business as usual' service and not as a strategic enabler of change. As we accelerate the pace of change and rely more on technology to deliver efficient services, there is a need for digital, data and ICT to have a stronger voice across the organisation. During the course of the Strategy we will be seeking to strengthen the visibility of digital leadership to support the Council's aims.

## 4.2.7 IT management and support arrangements

Gedling has a small ICT team with insufficient capacity to support large scale ICT projects. There is limited standardisation of service management processes and an opportunity through the delivery of the Strategy to embed standard processes within the ICT team, freeing up resource to add greater value over time.





# 5 Where do we want to be?





## 5.1 Vision and principles

### 5.1.1 Our vision

We have consulted across the Council to develop our vision for digital, data and technology and our related principles and Strategy.

Our vision is:

**"To ensure easy to use, responsive and efficient services, enabled by reliable and secure solutions that make best use of data to help improve lives."**

### 5.1.2 Principles

Our vision and outcomes will be delivered incrementally over the life of this Strategy by applying supporting core principles for the use organisation wide that help us to join up the people, process, technology and data aspects of digital delivery.

As changes to services or solutions are being considered in the future, we will check the proposals against these principles to ensure they are in line with our strategic objectives.



This is how our vision, outcomes and principles fit together:

<b>Council vision</b>	<b>“Serving people, improving lives.”</b>	
<b>Digital Vision</b>	<b>"To ensure easy to use, responsive and efficient services, enabled by reliable and secure solutions that make best use of data to help improve lives."</b>	
<b>Outcomes</b>	Be more joined up	Deliver easy to use services
	Create more efficient ways of working	Ensure responsive, reliable services
	Keep our data secure	Make better use of data insights in our decision making
<b>Our principles</b>	<p><b>To achieve this, we must...</b></p> <p><b>Take a ‘one council’ approach:</b> To governance, prioritisation and design.</p> <p><b>Consider people, process and technology:</b> Never just the technology on its own.</p> <p><b>Ensure inclusive design:</b> Meeting accessibility standards, and understanding inclusion needs.</p> <p><b>Be evidence-led:</b> Properly understand user and council needs first, before deciding on solutions.</p> <p><b>Design services ‘end to end’:</b> Ensuring we solve the whole problem for service users.</p> <p><b>Seek to minimise complexity:</b> Avoiding be-spoking and using scalable, repeatable solutions.</p> <p><b>Make things easy to change:</b> Through intelligent integrations and smart use of components.</p> <p><b>Prioritise security and availability:</b> Managing risks and business continuity effectively.</p> <p><b>Manage our systems and data as assets:</b> With clear ownership, management and accountability.</p>	

## 5.2 Outcomes

Our target outcomes are the final element of the golden thread to support the Gedling Plan. The six key outcomes we want to see because of this strategy are to:

- **Be more joined up.**
- **Deliver easy to use services.**
- **Create more efficient ways of working.**
- **Ensure responsive, reliable services.**
- **Keep our data secure.**
- **Make better use of data insights in our decision making.**

Each target outcome and what it means in relation to digital, data and technology delivery, is explained in more detail in the sections that follow, followed by a set of initiatives that, together, contribute to the delivery of each outcome.

### Be more joined up

#### Why this outcome is important

To deliver joined up services to customers, we need to have joined up approach to service delivery across the Council. That can only happen if we join up our decision making, supported by Council-wide governance, including in relation to the procurement, design and implementation of digital, data and technology solutions.

The Council's increasingly stretched financial position means that we also need to leverage our existing technology solutions better, re-using them across different services where we can, to ensure we use public money wisely.

This approach will also help us to avoid data silos so that customers have a better experience when interacting with the Council overall.

#### What will change?

To achieve this outcome, the Council will need to introduce new cross-service ways of working including new governance for managing change that spans people, process and technology. Individual service areas will no longer be able to make decisions about technology without reference to the whole Council approach, with the aim of us having fewer individual technology solutions to manage over time.

## **Deliver easy to use services**

### **Why this outcome is important**

Our customers want and expect it to be easy to get what they need, when they need it.

### **What will change?**

Ensuring customer and organisational needs are captured effectively and solutions are assessed against these requirements, (including, in each case, the option to stay 'as is'), providing technical input to an options appraisal that will determine next steps. If a decision is taken to replace the existing solution/s, we will work with colleagues across the organisation to ensure the technical elements of system implementation are well managed.

## **Create more efficient ways of working**

### **Why this outcome is important**

Like many councils, Gedling is facing the dual pressures of rising demand and costs against a reducing revenue budget, creating the need for savings. To meet the financial challenge the Council faces, it is essential that Gedling embraces technology to enable more efficient ways of working as well as refining and aligning business processes to maximise the benefits achievable. Delivered in tandem, this combination of technology use and process change will reduce operational costs to make sure that the Council can reinvest time and skills in meeting the more complex needs of local residents.

### **What will change?**

To deliver more efficient ways of working, there will be changes in operational, organisational and technical capabilities alongside new technology and processes. The Council will increase the focus on end-to-end service delivery and seek to design services based on customer needs to ensure that investment of resources deliver the maximum possible output.

## **Ensure responsive, reliable services**

### **Why this outcome is important**

Residents in Gedling don't just use Council services – they use services from retailers, banks and other organisations - and it is these wider experiences that shape their expectations of the

Council. It is now a universal expectation that services should be available 'at the touch of a button' and responsive to people's needs, enabling residents to see where things are up to and to track progress. The Council needs to ensure that customer expectations are understood, managed, and that services are responsive to people's needs.

In addition, the more the Council relies on technology, the more reliable the technology needs to be. Back ups need to be in place for core systems so that business continuity can be maintained, and responsiveness needs to be a key consideration as part of digital service design.

## **What will change?**

Services will be designed from a customer rather than a service, perspective, based on customer needs. Technology requirements will include specific standards for reliability that must be met. Employees will be able to be more diverse in their skillset, enabled by more standardised technology, improving responsiveness and resilience over time. Management information will be used to understand how services are performing and this will be used to make real-time decisions about service delivery. End to end service performance will be able to be tracked more effectively.

## **Keep our data secure**

### **Why this outcome is important**

Data security risks are very real, with several councils being impacted by cyber breaches in recent years, in some cases leading to impacts costing millions of pounds. Maintaining robust data security is a legal requirement and due to the ever-changing nature of the threats we face, we need to ensure our risk mitigations remain current and are fit for purpose. This includes actively and continually reviewing the cyber security landscape to ensure we can protect ourselves against threats, detect them when they are happening and recover from them successfully. We will continue to look outwards to the National Cyber Security Centre for the latest threat landscape information and best practice guidance and will ensure that as our ICT provision evolves, we take appropriate and proportionate action. This will include managing supply chain risk as well as the direct management of our internal ICT controls.

## **What will change?**

The Council will review and revise its Information Management, Information Governance and Data Governance and Retention Policies and procedures to ensure that it continues to meet its regulatory obligations in an increasingly digital landscape. Changes to the storage and access to information will support this and standard requirements will feature in technology procurement and renewals, in process design and in the management of information outside of the IT estate.

Access to systems will be controlled corporately, so that changes (e.g. starters, movers and leavers) can be well managed and enacted in the systems efficiently.

The ICT controls framework will align to Public Sector guidelines and recommendations and industry best practice, and these guidelines will feature in the audit of and management of supplier contributions.

## Make better use of data insights in our decision making

### Why this outcome is important

We already use data to inform our decision making. Over the life of this Strategy, our aim is to make that data easier to access and understand, and to give us objective insights that drive service improvement in a timely way.

Our management information will be used to better understand the value, demand, cost, and quality of the services we deliver, enabling us to continually make improvements to better meet the needs of our residents.

### What will change?

Governance, supplier selection, technology and processes will all change as a new approach to the use of information implemented. This will also result in a more skills rich workforce and will enable greater cross functional working, enabled by access to information.



## 5.3 What will be different by 2027?

**I will be able to help our customers without having to use lots of different systems at once, making it easier to meet their needs.**

Customer Service Advisor

**I will be able to log in online and see where my requests are up to.**

Gedling resident

**I'll be able to see where there are issues in service delivery and fix them more quickly, avoiding complaints.**

Head of Service

**We'll know where to go to get help.**

Gedling resident

**I'll be able to find the information I need internally more quickly and be more productive.**

Employee

**I'll be able to raise a request for one of my constituents and know exactly where things are up to without chasing.**

Ward councillor

**I'll feel confident using new technology and will be supported to maximise the tools available to me.**

Service Manager

**We'll be able to see improvements to customer satisfaction with our services and we'll be more efficient.**

Director

**I won't have to keep chasing up.**

Customer

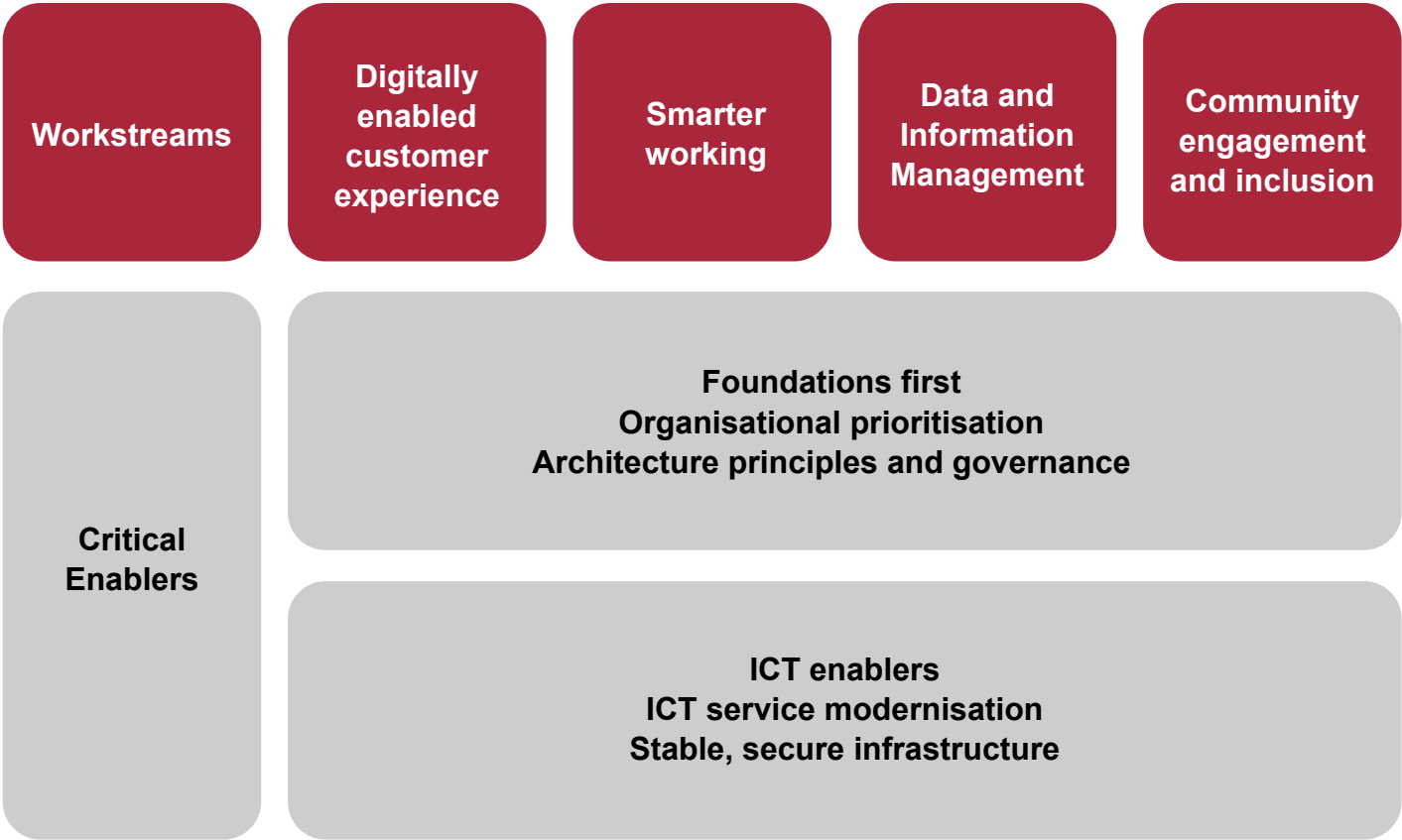


# 6 Delivery Plan





To deliver the strategy, a single, detailed delivery plan has been developed, based on four workstreams and four underpinning critical foundations. While the Workstreams are not expected to change over the course of the Strategy, the Delivery Plan outputs will be reviewed and refreshed on an annual basis to support the overall Strategic outcomes, considering progress made and any changes to the Council’s circumstances.



Each workstream is explained in the sections that follow.



## 6.1 Digitally enabled customer experience

<b>Scope of work</b>	<p>To develop a programme of activity that seeks to improve the customer experience across all customer access channels, enabling consistency in service delivery, an integrated way of working across web, telephony, face to face and social media channels and a joined-up experience for the Council's customers.</p> <p>The programme will identify and deliver significant efficiencies through the automation and integration of processes and technology, enable customer service advisors to do more at first point of contact, support customers to make greater use of self-service options and enable reductions to avoidable contact. It will also enable the Council to better manage changes, and residents to only have to tell us once when things change for them. Once supporting technology is in place, we will be able to make better use of customer feedback on an ongoing basis to continually improve our services.</p> <p>To achieve these outcomes, a programme will need to be scoped, along with the specification, selection, design and implementation of integrated front-end customer access and workflow technologies including CRM and a new Council website. There will be integration and automation of processes between the CRM and the back end operational delivery solutions, with customer centric design, ensuring responsive, reliable service delivery and end to end transparency of performance. The use of Web Chat and social media will be better integrated to be delivered efficiently, and there will be some automation of telephony. In addition to immediate benefits, this will enable improved understanding of failure-led demand on an ongoing basis to optimise customer service delivery as well as customers having a single view of the council and their interactions with it.</p> <p>By implementing supporting technology, customer service advisors will be able to do more to support services, freeing up capacity in critical, and hard to recruit to areas like Planning and making best use of Council resources overall.</p>
<b>Objectives</b>	<p>Improve customer experience – enable self-service, ensure right first-time service delivery, deliver end to end traceability of services, enable customer self-serve, reduce failure led demand (e.g. chase ups).</p> <p>Generate cashable efficiencies – streamline and automate / integrate to processes that reduce reliance on manual activities. Reduce printed materials and postage through improved online communication.</p> <p>Create capacity – in services, by contact centre teams doing more at first point of contact.</p> <p>Join up messaging – across web, social media, telephony and face to face services, enabling targeted communication to be more effective.</p> <p>Make performance transparent – so that improvements can be made on a continual basis.</p>
<b>Year one outputs</b>	<p>Business case for investment in CRM and Council website, including baseline for benefits realisation.</p> <p>Programme design and mobilisation to support implementation.</p> <p>Introduction of a new Business and Technical Design Authority, System, Service and Process Owners and related standards to support the change.</p> <p>Specification, selection and deployment of CRM and Council website solutions.</p> <p>Definition of supporting Target Operating Model, optimising alignment of customer channels and services.</p> <p>Initial services deployed: Starting with high volume transactional areas including Waste and Revenues and Benefits.</p>

## Benefits

**Customers will receive improved service:** Being able to contact us through channels and at times of their choosing, being able to trace their requests and see where things are up to, get speedy answers to questions and have services delivered right first time.

**Employees will be more productive:** Using fewer systems to answer customer enquiries, spending more time adding value and less time on administration.

**Councillors will be enabled to support their communities:** Raising queries on behalf of residents, tracking progress, having full transparency of where things are up to without having to chase up manually.

**The Council will be more efficient:** With less failure-led demand (like chase ups), fewer escalations and complaints, and cashable savings being delivered.

**Services will benefit from increased capacity:** As more is able to be done at the front end, reducing demand on specialists within service areas.



## 6.2 Smarter working

<p><b>Scope of work</b></p>	<p>To develop a Smarter Working programme that seeks to enable employees to make best use of technology and feel confident in using it, ensures that core technology is kept up to date and that processes can be optimised, making best use of council resources, and enables new capabilities to be explored to better support asset management across the Council as a whole.</p> <p>There are several things that we must do over the course of the Strategy to maintain systems without risk. In addition, our increased use of digital and data means we will need to develop new capabilities both within and outside of ICT. We will invest in developing our staff so they can make use of technology to support service delivery and will consider the core competencies needed at all levels to create the conditions for successful delivery of this Strategy and related outcomes.</p> <p><b>The programme will include several workstreams, including:</b></p> <ul style="list-style-type: none"> <li>• Migration of the core Finance System to the Cloud (Phase 1), to ensure it continues to be supported, followed by finance process optimisation (Phase 2) to ensure the most efficient processes are in place to run the Council.</li> <li>• Workforce development – building on the existing employee, manager and leader standards to encompass the digital skills needed, supporting and enabling our teams to be able to make best use of the technology available to them, enabling improved collaboration and productivity.</li> <li>• Workforce access – A large proportion of our workforce do not have access to systems as part of their role yet do make use of technology in their everyday lives. We will explore options for digitally enabled communication to improve consistency and to make it easier for our employees to communicate with us.</li> <li>• Development of an options appraisal for a Council-wide Asset Management System to inform whether there is sufficient benefit for a solution to be procured and implemented to support a Council wide Asset Management Strategy.</li> <li>• Introduction of a standard IT Service Management tool, ensuring the ICT service has the processes in place and data it needs to operate effectively and efficiently.</li> <li>• Improved support for members, to ensure that as new technology is introduced, everyone knows how to use it.</li> <li>• Digitalisation of performance management information. Making use of drillable dashboards and solutions that reduce reliance on manual re-keying of data between systems.</li> </ul>
<p><b>Objectives</b></p>	<p>Ensure critical solutions remain supported – to enable continuity of core services and to mitigate risk.</p> <p>Ensure most effective use of the Council's assets – enabling visibility of total asset cost, performance and usage, providing the data needed to strategically plan.</p> <p>Improve productivity – ensuring all employees can make best use of the technology available to them.</p> <p>Generate cashable efficiencies and create capacity– streamline internal processes to keep operating costs low.</p> <p>Improve the employee experience – making it easier for our employees to do their jobs and to communicate with us.</p> <p>Improve employee engagement and digital inclusion – 59% of our workforce live in the borough, enabling our employees to use digital solutions means they can help to support family members and friends in engagement with the Council.</p>



	<p>Make performance real time and transparent – so that improvements can be responsive and made on a continual basis.</p>
<p><b>Year one outputs</b></p>	<p>Finance system migration to the Cloud, plan in place for Service optimisation for Year 2.</p> <p>Employee, Manager and Leadership standards updated to include digital considerations.</p> <p>Workforce development plan in place, with Year 1 actions rolled out that enable our workforce to make better use of existing technologies.</p> <p>Options appraisal completed for the development of an Asset Management Solution, to enable the Council to take a decision on investment ahead of Year 2.</p> <p>Discovery completed to determine options for Workforce access – understanding how our employees would prefer to communicate with us, what access they have to technology in their day to day lives and pilot of options on future digital communication tools.</p> <p>Integrated support developed to enable the new technologies introduced (e.g. CRM) to be supported in the long term across the Council.</p> <p>Support for members in the use of the technologies being deployed.</p>
<p><b>Benefits</b></p>	<p><b>Services will benefit from improved continuity:</b> Elements of this workstream are ‘must haves’ to keep the council’s core systems running.</p> <p><b>Employees will be more productive:</b> Making better use of existing technology and able to use new technology effectively.</p> <p><b>The Council will be more efficient:</b> Able to understand and make better use of its assets and reduce costs over time.</p> <p><b>Councillors will have greater visibility of performance:</b> Using technology to raise queries, and to be able to trace where things are up to and seeing real time insights into service performance via Council-wide dashboards, so that decisions can be made about areas for improvement in the future.</p>

## 6.3 Data and Information Management

<b>Scope of work</b>	<p>The provision of foundational activities to underpin wider changes and enable improved customer service and smarter working. This workstream has interdependencies that support, and are enabled by, the wider Strategy.</p> <p>The workstream includes several activities that are necessary for the Council to join up its service delivery, be more efficient and make better use of data, including:</p> <ul style="list-style-type: none"> <li>• A project to define information management requirements and standards, building on the work done to date on Information Asset Management, to systemise and standardise how, and where, documentation is held and managed Council wide.</li> <li>• Roll out of Teams and document management capabilities, including the creation of clear guidance on the storage of documentation, security, access and version control, ensuring there is one master source.</li> <li>• Definition of common Data Objects (e.g. Customer, Asset, Address, Employee), creating basic standards that are then implemented through the other workstreams to ensure that data and services are easier to bring together over time.</li> <li>• Exploration of the data required to deliver real time performance information to enable dynamic dashboards to be created, removing the necessity in the longer term for manual extraction and re-keying of information from one system to another for performance reporting.</li> </ul>
<b>Objectives</b>	<p>Improve our management of data - ensuring we hold information in one place and enable people who need to see it to access it, without having multiple copies or emails, improving access management controls.</p> <p>Only to keep what we need, ensuring compliance with GDPR for personally identifiable information and more efficient, automated ways of managing archiving and deletion.</p> <p>Improved efficiency and productivity – making it easier for our employees and customers to find what they need quickly.</p> <p>Embed master data management and data standards – so that we can bring data together more effectively and efficiently to improve our services, including enabling our customers to ‘tell us once’ about changes.</p>
<b>Year one outputs</b>	<p>Creation of core data standards and data validation controls for common data objects and specifically in relation to Data Objects used in the Customer Experience workstream</p> <p>Identity and Access Management – standardising our approach across the Council and managing this centrally within ICT, with related change controls in place.</p> <p>Mobilisation and scoping of an Information and Document Management project, to define the requirements for document storage and to determine the optimal approach to storing documents and enabling accessibility and management Council-wide.</p>
<b>Benefits</b>	<p><b>The Council will have more control over risks:</b> Employees will only be able to access the information they need to see to do their jobs, with tighter control of access Council-wide to mitigate the increased risks associated with more joined up systems and processes.</p> <p><b>It will be easier to find information:</b> Making it easier for customers and employees to find what they need at the touch of a button.</p>

**Employees will be more productive:** Releasing time to spend on more valuable work rather than administration.

**We will be able to 'join up' services more easily:** Using common data objects to match data and bring information together.

**Information will be trusted:** With single, trusted, verifiable data sources created because of improved controls, enabling performance dashboards to be enacted through the Smarter Working workstream over time.

**We will be more responsive to customers, including making FOI and SARs requests easier:** With information stored in one place to enable it to be found and collated more easily.

**The Council will be more efficient:** Only keeping the information it really needs, reducing the need (and cost) to store data and reducing the volume of emails and interactions needed to get things done.





## 6.4 Community engagement and inclusion

<b>Scope of work</b>	<p>To develop a co-ordinated and connected digital inclusion support offer for Gedling residents that seeks to enable digital inclusion by working with partners across housing, the public sector, third sector, and health and care to increase collective capacity to deliver digital inclusion in a sustainable way as well as implementing specific, evidence-based interventions in response to community and council need.</p> <p>To work with communities to understand their needs and gain their inputs into Customer Experience Programme outputs, including engaging communities in design and testing activity.</p>
<b>Objectives</b>	<p><b>Ensure inclusive approaches to service design:</b> Making sure our services meet the needs of all of our customers, not just those who already find the easy to use.</p> <p><b>Encouraging more people to use less expensive forms of contact:</b> Making our digital services so accessible that people choose to use them, freeing up resources to help the smaller group of people that can't.</p> <p><b>Embed a customer and evidence-led mentality:</b> Actively involving customers in service design, using feedback and data to drive decisions.</p>
<b>Year one outputs</b>	<p>Digital inclusion partnership network established.</p> <p>Co-design of a Gedling Digital Inclusion framework and metrics.</p> <p>Community engagement in the development and testing of digital services through the Customer Experience workstream.</p>
<b>Benefits</b>	<p><b>Customers will make more use of digital services:</b> Reducing the demand for more expensive access channels and creating the capacity we need to support people who cannot self-serve more effectively.</p> <p><b>Our services will be more customer focused:</b> Designed using data about, and feedback from, our customers rather than being based on how we do things now.</p> <p><b>The Council will better understand its exclusion needs:</b> So informed decisions can be taken, with partners, about where investment may be needed, and funding sought to make improvements to access.</p> <p><b>Digitally excluded residents will be better enabled:</b> With opportunities, via a partnership approach, to access services digitally with relevant support, to mitigate the multiple impacts of digital exclusion on financial and social exclusion.</p> <p><b>Councillors will be enabled to signpost to support:</b> So that residents who need help know how to get it.</p> <p><b>The local economy will benefit:</b> From raising digital skills among the population to take advantage of higher skilled work and wider opportunities.</p>

## 6.5 Critical enablers

### 6.5.1 Organisational enablers

The following section sets out the critical enablers that need to be in place for any of the other workstream activity to be achieved successfully and for risks to be appropriately mitigated.

Critical enablers are split into two key groups – organisational enablers (the things the Council must do to enable successful digital, data and technology delivery) and ICT enablers (the things that the ICT service itself must do).

### 6.5.1 Organisational enablers

	Organisational prioritisation	Architecture principles and governance
<b>Scope of work</b>	<p>To implement a single prioritisation methodology and supporting governance for all Council change and project activity. This will enable effective periodic and iterative planning and enable us to plan in advance of decisions about structures, process or technology being made, so that impacts to digital, data and technology are understood and planned for upfront.</p> <p>This will mean defining prioritisation criteria for all change and implementing a process for new projects and changes to follow, supported by a governance forum to enable prioritisation recommendations to be made to the Senior Leadership Team.</p>	<p>To implement a set of principles to support and enable consistent decision making in relation to digital, data, technology and service provision.</p> <p>This will mean defining easy to understand architecture principles and ensuring they are supported by a new Business and Technical Design Authority which will advise on the impact of change.</p> <p>The principles will enable a joined up approach to be taken to technology delivery and service changes, with impacts and costs understood upfront to feed into prioritisation.</p>
<b>Objectives</b>	<p>Better control change impacts that have interdependencies across people, process and technology.</p> <p>Ensure prioritisation of activities that add the most value, have clarity on related benefits, and to be able to stop those that don't.</p> <p>Improve the foundations for project delivery to better optimise the conditions for success.</p> <p>Ensure organisational buy in to project activity before it commences, reducing reactive and unplanned change to minimise disruption to planned work.</p>	<p>Ensure a joined-up approach to the delivery of our services.</p> <p>Reduce technical debt and better understand and control long term costs.</p> <p>Improve service resilience – technically and operationally.</p> <p>Enable impacts to people, process and technology to be understood before decisions are made.</p> <p>Improve the foundations for project delivery to better optimise the conditions for success.</p>

<b>Year one outputs</b>	<p>Creation and embedding of agreed prioritisation and change management criteria and process across all services.</p> <p>Creation and embedding of supporting governance.</p> <p>Standardisation of project and change reporting.</p>	<p>Creation and embedding of a new Business and Technical Design Authority</p> <p>Creation and embedding of Council-wide architecture principles and governance</p> <p>All changes appropriately impact assessed and controlled, aligned to our strategic direction.</p>
<b>Benefits</b>	<p><b>The Council will be able to evidence the benefit of changes and projects:</b> Enabling our limited resources to be used wisely and to take evidence-led decisions.</p> <p><b>There will be full visibility of change:</b> Across the whole Council, ensuring we manage, and sequence activity aligned to available capacity.</p> <p><b>Employees will have greater clarity on Council priorities:</b> Including building understanding of why things are done, how to raise ideas for new work and why certain projects and initiatives might not be a priority right now.</p> <p><b>Councillors will have insight into project benefits, strategic alignment and performance:</b> Enabling strategic decisions to be made about what to start, continue and stop.</p> <p><b>More projects will be delivered successfully:</b> With improved upfront control and benefits being tracked from initiation to realisation.</p>	<p><b>We will be able to deliver more responsive, joined up services to customers,</b> aligning our technology to support our processes and linking systems and processes together more easily.</p> <p><b>Transparency in the total costs and impacts of change:</b> Ensuring we understand these upfront, enabling informed decision making, planning, avoiding disruptions in delivery.</p> <p><b>Reduced long term costs:</b> Making better use of technology to drive efficiencies across the organisation, linking systems together to reduce manual intervention and improve accuracy.</p> <p><b>Improve service resilience:</b> Using technology to help our employees to 'do more' and reducing complexity in our processes and systems to enable skills to be standardised.</p> <p><b>More projects will be delivered –successfully:</b> With improved upfront control and benefits being tracked from initiation to realisation.</p>



## 6.5.2 ICT enablers

### Digital foundations, including effective ICT operations

### Stable, secure infrastructure

<b>Scope of work</b>	<p>To implement foundational ICT capabilities that align to industry best practices through the use of aspects of industry standards such as ITIL 4, COBIT 5, Agile, PRINCE2 and TOGAF.</p> <p>This spans all ICT Service offers and positions ICT to offer digital service transformations whilst maintaining operational stability</p>	<p>A focused review to ensure that the council's hosting, storage and network connectivity is fit for purpose and that it is sufficiently resilient and adaptable to the Council's known and future needs.</p> <p>Consider the use of Cloud technologies and potential changes to Council assets to determine the most cost effective, secure and resilient hosting options.</p>
<b>Objectives</b>	<p>Provide the basis for ICT operational change in a controlled and measurable way that mitigates risk of operational failures.</p> <p>Resolve current operational debt and risk ahead of commencing significant operational and technical change.</p> <p>Ensure ICT can support the strategic direction of the Council and be fit for the future.</p>	<p>Review the current infrastructure with a view to supporting improved resilience and flexibility aligned to the Council's wider migration to Cloud technologies and considering potential changes to assets.</p> <p>Ensure service continuity risk is minimised.</p>
<b>Year one outputs</b>	<p>Improved stability and control, including improved efficiency in relation to Service Desk and Service Management.</p> <p>Change Management, Problem Management, ICT Financial Planning and Digital Readiness processes established.</p>	<p>Review the current on premise services, make recommendations on which services can be migrated to the Cloud, which need to stay on premise, and for those remaining on premise, the infrastructure requirements aligned to wider asset plans.</p>
<b>Benefits</b>	<p><b>Operational Risk mitigation:</b> In both the current service stability and in the readiness ahead of change.</p> <p><b>Greater visibility of operational risk and ability to mitigate:</b> Ability to measure the impacts of operational change and throughout the transition period and the implementation of robust and reliable control processes to detect and control emerging risk.</p> <p><b>Improved strategic ICT support:</b> Embedding and standardising the basics to enable the bulk of the 'people effort' in ICT to focus on strategic enablement of change.</p>	<p><b>Services will see improved resilience:</b> Ensuing underpinning technology supports service continuity.</p> <p><b>Residents will be assured:</b> Of service continuity, performance and security.</p> <p><b>The Council will be better able to manage infrastructure risk:</b> Including the risk of service continuity, income loss and cyber threat.</p>

### 6.5.3 Measuring success

Under each workstream of the Strategy, we will develop related success measures that are Specific, Measurable, Achievable, Realistic and Timebound (SMART).

As a starting point, we will use the initial metrics below to understand our progress. Each of the outcome areas will develop a baseline and metrics to be able to demonstrate progress, both in terms of outputs (things being done) and outcomes (impacts as a result).

<p><b>Be more joined up</b></p> <ul style="list-style-type: none"> <li>• <b>How will we know?</b></li> <li>• Outputs: Single governance structure and principles implemented.</li> <li>• Number of exceptions agreed outside of principles and / or process.</li> <li>• Fewer systems over time.</li> <li>• Less manual intervention in our processes.</li> </ul>	<p><b>Deliver easy to use services</b></p> <ul style="list-style-type: none"> <li>• <b>How will we know?</b></li> <li>• Customer feedback.</li> <li>• Avoidable contact data.</li> <li>• Abandonment rates (all channels).</li> <li>• Right first time metrics.</li> </ul>	<p><b>Create more efficient ways of working</b></p> <ul style="list-style-type: none"> <li>• <b>How will we know?</b></li> <li>• Delivery of cashable efficiencies through a combination of automation, integration, simplification and process redesign, and channel shift.</li> <li>• Productivity gains.</li> <li>• Feedback from employees</li> </ul>
<p><b>Ensure responsive, reliable services</b></p> <ul style="list-style-type: none"> <li>• <b>How will we know?</b></li> <li>• Service availability.</li> <li>• System availability.</li> <li>• System performance</li> <li>• Reduced strategic infrastructure risk.</li> </ul>	<p><b>Keep our data secure</b></p> <ul style="list-style-type: none"> <li>• <b>How will we know?</b></li> <li>• Number of data incidents, near misses and / or breaches.</li> </ul>	<p><b>Make better use of data insights</b></p> <ul style="list-style-type: none"> <li>• <b>How will we know?</b></li> <li>• Evidence led decision making embedded through the Prioritisation and BTDA processes.</li> <li>• Data held once, shared appropriately, with access controls managed within ICT.</li> <li>• Implementation of data insight technologies over time.</li> </ul>



## 6.5.4 Ensuring accountability for delivery

Progress in delivery will be tracked through:

- SLT having collective responsibility for the conditions for success.
- Every workstream having a specific, Senior Responsible Owner.
- Regular reporting by SLT to Cabinet on progress on the overall Strategy.
- Regular reporting to SLT on each Workstream, enabled by the Prioritisation and portfolio management governance that will be defined.
- Standardised project controls being implemented with regular reviews.
- Embedding digital into the Employee, Manager and Leadership standard, including expectations in every team member's objectives – with reviews as part of one to ones, and through the appraisal process.

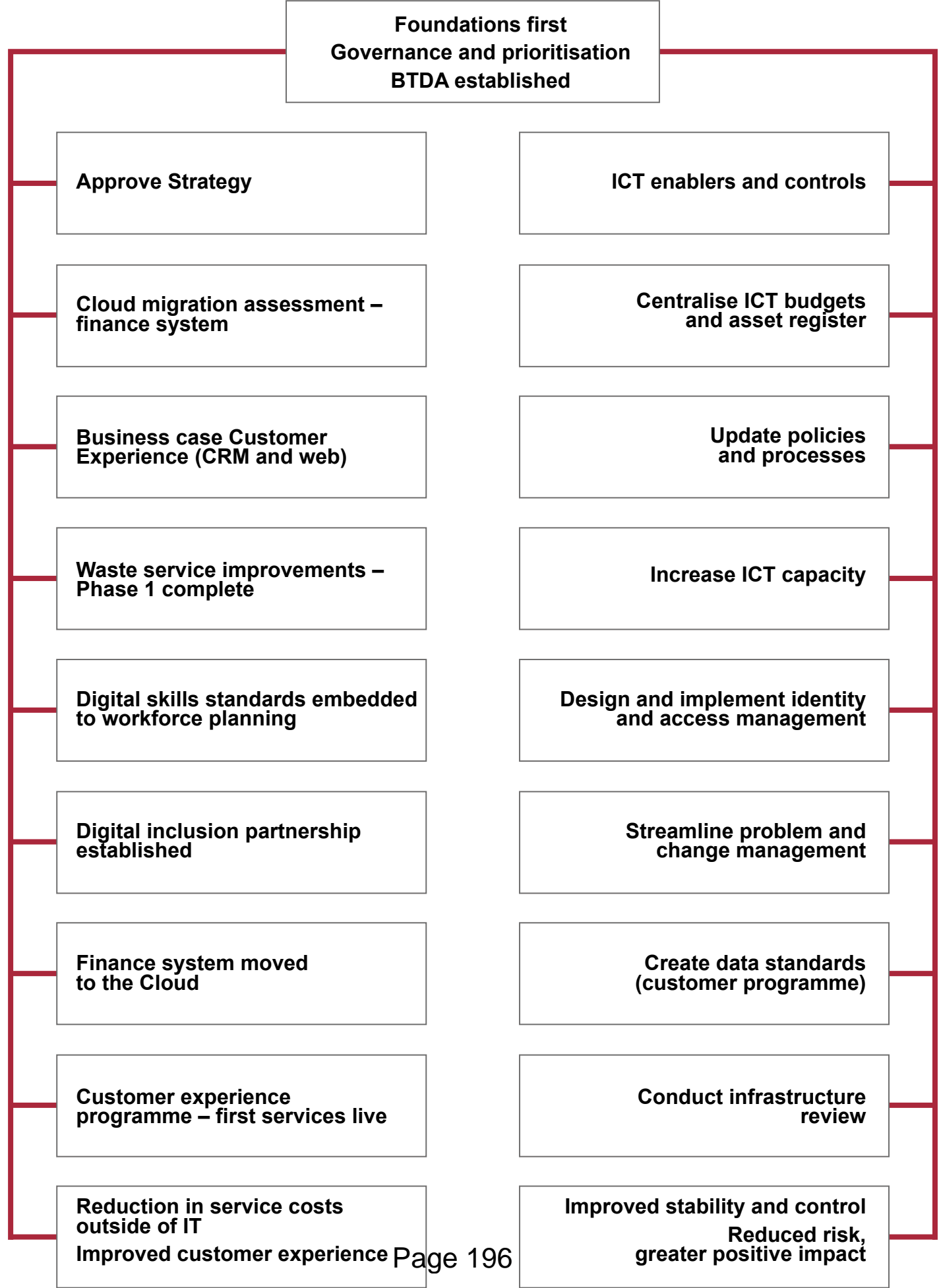




# 7 High level roadmap



# Year one roadmap summary





# 8 Risk



This table sets out the risks to the delivery of the Strategy and the mitigations required to achieve its implementation.

Risk	Mitigation
<p><b>Capacity risk:</b> There is a risk of insufficient capacity to deliver the Strategy and realise associated benefits.</p>	<p>The roadmap will define the resources needed to deliver the Strategy over three years at a high level and the Year 1 investment needed.</p> <p>The implementation of a prioritisation approach, related change control framework and BTDA ensures a controlled approach to capacity allocation and the management of digital, data and technology related change.</p> <p>Business Cases will be required for major investment, with clear benefit attached.</p> <p>Senior buy in to this Strategy, and adherence to related governance, will be required for the Strategy to be successful.</p>
<p><b>Overload:</b> There is a risk that the Council attempts to do ‘too much’ at once and does not achieve the desired outcomes as a result.</p>	<p>Critical foundations need to be put in place before any large-scale workstream activity gets underway.</p> <p>There needs to be appropriate assessment of capacity before any project starts – this will be managed via prioritisation, and the change control governance. Change will be managed via a single governance structure. Regular updates on projects will ensure ongoing understanding of progress, so the Council can adapt the pace, or augment resources as needed.</p>
<p><b>Investment risk:</b> There is a risk that the Council will underinvest in the capability needed to deliver the change.</p>	<p>Investment requirements will be made clear upfront.</p> <p>Decisions to reduce investment will require a commensurate reduction in the outputs and outcomes being delivered.</p> <p>The critical foundations will be prioritised to enable resources to be used wisely across the lifespan of this Strategy.</p>



Risk	Mitigation
<p><b>Skillset risk:</b> There is a risk that the Council does not have all of the skillsets that it needs to deliver the Strategy, or the skillsets in the workforce to easily adopt new technologies.</p>	<p>New roles and additional roles will be needed within the Council to deliver the Strategic ambition.</p> <p>Re-training of current ICT employees and support for workforce development are included in the roadmap to ensure the Council's skillsets are fit for the future</p>
<p><b>Leadership and culture risk:</b> There is a risk that leaders do not lead by example, do not endorse the Strategy and governance or fail to adopt technology solutions.</p>	<p>Leadership and management expectations will be made clear, with enabling support where needed, and standard performance management processes applying in the unlikely event that leaders or managers do not align to deliver the Strategy or adhere to related governance.</p>





# 9 Governance



The creation of a new Business and Technical Design Authority and a new Portfolio Board will support this Strategy and the wider prioritisation and delivery of change across the Council.

Terms of Reference will be developed for each governance body, based on delegated authorities assigned to it.

The following diagram explains how governance will fit together.

## Democratic governance

Council / Cabinet / Portfolio Holder

## Executive governance and leadership

SLT oversight

Ensure alignment with strategy

Key start / stop approval and escalation point

## Prioritisation and portfolio management

BTDA

Asks the question: Should we / how should we?

Impact assesses people, process and technical change, guards the principles, approves solution design and procurement.

Advises SLT, Portfolio Board and Services

Approves design

Portfolio Board

Asks the question: Can we? / How do we?

(Prioritises, sequences, estimates and allocates resources, monitors delivery, provides assurance, reports to SLT)

Approves sequencing

## Delivery

Small scale changes  
(Service requests)

Individual projects and programmes

Deliver within agreed scope.



# 10 ICT change funnel





Within ICT changes will come from multiple sources and will need to 'plug in' to governance at the appropriate point. The diagram below explains where changes come from within ICT and how they will be handled. Detailed design will be needed as part of the ICT modernisation workstream to define and embed this way of working

<p><b>Drivers for change</b></p>	<p><b>Planned programmatic change:</b> Major initiatives such as building changes or ICT enabled programmes.</p> <p><b>Planned ICT change:</b> End of contract for a system, product upgrade.</p> <p><b>Request for change:</b> Inbound request from services to make a change to the ICT infrastructure / application.</p> <p><b>Request for service:</b> Inbound request for ICT support.</p> <p><b>Planned annual updates</b> (e.g. Fees and charges)</p> <p><b>Emergencies:</b> Reactive urgent changes to address critical risks and issues</p>
<p><b>Categorising and prioritising change</b></p>	<p><b>Programmatic change:</b> Resource assigned via Portfolio Board.</p> <p><b>Planned ICT change:</b> Forward planned with services, resources assigned and reviewed as part of planning.</p> <p><b>Standard changes:</b> Routine, low risk changes with pre-agreed, repetitive responses. No assessment needed – IT schedules and delivers within service resourcing.</p> <p><b>Non-standard changes:</b> Require assessment, initially via ICT, potentially via BTDA based on threshold criteria.</p> <p><b>Emergency changes:</b> Priority 1, resources reassigned as needed, impact assessment follows delivery.</p>
<p><b>Delivery of change</b></p>	<p><b>Delivery of ICT change may take the following forms:</b></p> <p><b>ICT resources to be part of project teams,</b> matrix managed via the project for the purposes of delivery, linking back to ICT to ensure appropriate controls are in place. Project teams are temporary and may consist of permanent, fixed term and supplier resources.</p> <p><b>ICT only projects</b> – these are rarer, but may include ICT team members collaborating on pure ICT deliverables where there is no business impact or input needed.</p> <p><b>'Business as Usual' standard changes</b> – delivered as part of day to day service support.</p>

# 11 Monitoring and review





This Strategy will be reviewed at least annually, with annual delivery plans updated in line with the priority areas of focus, taking into consideration any new needs as a result of service planning.





Name of project, policy, function, service or proposal being assessed:	Digital, Data and Technology Strategy				
The main objective of (please insert the name of accessed document stated above):	<i>"To ensure easy to use, responsive and efficient services enabled by reliable and secure solutions that make best use of data to help improve lives."</i>				
<p>What impact will this (please insert the name) have on the following groups? Please note that you should consider both external and internal impact:</p> <ul style="list-style-type: none"> <li>• External (e.g. stakeholders, residents, local businesses etc.)</li> <li>• Internal (staff)</li> </ul>					
Please use only 'Yes' where applicable		<b>Negative</b>	<b>Positive</b>	<b>Neutral</b>	<b>Comments</b>
<b><u>Gender</u></b>	External			X	
	Internal			X	
<b><u>Gender Reassignment</u></b>	External			X	
	Internal			X	
<b><u>Age</u></b>	External		x		It is recognised that age can be a barrier to digital accessibility but the strategy provides for a

					workstream to mitigate this through community digital inclusion.
	Internal		x		

## Equality Impact Assessment



<b><u>Marriage and civil partnership</u></b>	External			x	
	Internal			x	
<b><u>Disability</u></b>	External	x			Improved accessibility to online services will enable better access to those who may not be able to present face to face or engage verbally. The strategy improves efficiency across the organisation which will improve capacity to deal with customers who require specialist assistance.
	Internal	x			
<b><u>Race &amp; Ethnicity</u></b>	External		x		Technology improvement including self-serve and self translate and translate systems in webchat should provide a reduction in language barriers and improve accessibility.
	Internal		x		
<b><u>Sexual Orientation</u></b>	External			X	
	Internal			x	

<b>Religion or Belief (or no Belief)</b>	External			X	
	Internal			x	
<b>Pregnancy &amp; Maternity</b>	External			X	
	Internal			x	
<b>Other Groups</b> (e.g. any other vulnerable groups, rural isolation, deprived areas, low income staff etc.)  Please state the group/s: _____ _____	External		X		Community digital inclusion will involve support from community groups and should enhance opportunities for digital inclusion and reduce digital exclusion.
	Internal		X		

Is there is any evidence of a high disproportionate adverse or positive impact on any groups?	Yes	No	Comment As detailed above, in addition staff upskilling will improve opportunities for staff and efficiency of service.
Is there an opportunity to mitigate or alleviate any such impacts?	Yes	No	Details above
Are there any gaps in information available (e.g. evidence) so that a	Yes	No	Further data on digital exclusion will be required to support the workstreams under the strategy

complete assessment of different impacts is not possible?			
In response to the information provided above please provide a set of proposed action including any consultation that is going to be carried out:			
Planned Actions	Timeframe	Success Measure	Responsible Officer

## Authorisation and Review

<b>Completing Officer</b>	<b>Francesca Whyley</b>
<b>Authorising Head of Service/Director</b>	
<b>Date</b>	
<b>Review date ( if applicable)</b>	

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# Climate Impact Assessment

Name of project, policy, function, service or proposal being assessed:	Data, Digital and Technology			
The main objective of (please insert the name of accessed document stated above):	<i>"To ensure easy to use, responsive and efficient services enabled by reliable and secure solutions that make best use of data to help improve lives."</i>			
What impact will this (please insert the name) have on the following Please read guidance before completing.				
Category	Negative	Positive	No impact/ Negligible change	Mitigation/ Comments
Behaviour & Culture Change			x	
Built Environment			X – potential future impacts on office space to be assessed separately	
Transport		X – improving digital accessibility for staff and customers may mean a reduction in travel for face-to-face services and improved agility with systems to support home working.		

<b>Energy, Natural Resources &amp; Climate Change</b>			x	
<b>Waste Reduction &amp; Recycling</b>			x	
<b>Blue-Green Infrastructure/Biodiversity</b>			x	
<b>Procurement &amp; Purchasing</b>		X – Better governance around ICT procurement can support utilising businesses and solutions that have environmental policies. Improvements to systems and more efficient ways of working will impact for example on missed bin returns and maximise efficient use of fleet.		

In response to the information provided above please provide if there is any proposed action including any consultation that is going to be carried out

Planned Actions	Timeframe	Potential Outcome	Responsible Officer

**Authorisation and Review**

<b>Completing Officer</b>	<b>Francesca Whyley</b>
<b>Authorising Head of Service/Director</b>	
<b>Date</b>	
<b>Review date ( if applicable)</b>	

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