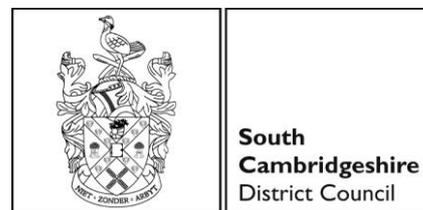


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28 April 2020

To: The Leader – Councillor Bridget Smith  
Deputy Leader (Statutory) – Councillor Dr. Aidan Van de Weyer  
Memb of the Cabinet – Councillors Neil Gough (Deputy Leader), Bill Handley,  
Dr. Tumi Hawkins, Hazel Smith and John Williams  
Quorum: Majority of the Cabinet including the Leader or Deputy Leader (Statutory)

Dear Councillor

You are invited to attend the next meeting of **CABINET** on **WEDNESDAY, 6 MAY 2020** at **9.30 a.m.** Because of the **COVID-19 outbreak**, Central Government has imposed restrictions on the size of public gatherings. As a result, this meeting will be conducted remotely using the Microsoft Teams video conferencing system. There will be no access to the meeting at the Council Offices, but a live stream of the meeting will be available via Microsoft Teams. A web link to enable members of the Press and public to view, or listen to, the proceedings will be published on the relevant page of the Council's website at least 24 hours before the meeting.

Yours faithfully

**Liz Watts**

Chief Executive

**The Council is committed to improving, for all members of the community, access to its agendas and minutes. We try to take all circumstances into account but, if you have any specific needs, please let us know, and we will do what we can to help you.**

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## AGENDA

## PAGES

- |    |  |        |
|----|--|--------|
| 1. | <b>Announcements</b>   |        |
| 2. | <b>Apologies for Absence</b><br>To receive Apologies for Absence from Cabinet members.   |        |
| 3. | <b>Declarations of Interest</b>  |        |
| 4. | <b>Minutes of Previous Meetings</b><br>To authorise the Leader to sign, as correct records, the Minutes of the Extraordinary meeting held on 18 November 2019 and the meeting held on 4 March 2020 as correct records. | 1 - 8  |
| 5. | <b>Public Questions</b>  |        |
| 6. | <b>Issues arising from the Scrutiny and Overview Committee</b>   | 9 - 10 |

<b>7.</b>	<b>Transfer of Community Assets Policy</b>	<b>11 - 20</b>
<b>8.</b>	<b>Council Tax Discretionary Reductions Policy</b>	<b>21 - 40</b>
<b>9.</b>	<b>Shared Services Business Plans</b>	<b>41 - 204</b>
<b>10.</b>	<b>Exclusion of Press and Public</b> The press and public are likely to be excluded from the meeting during consideration of the following item in accordance with the provisions of Section 100(a)(4) of the Local Government Act 1972 (exempt information as defined in paragraph 3 of Schedule 12A (as amended) of the Act). Paragraph 3 relates to information about the financial or business affairs of any person, including the Authority holding that information.	
<b>11.</b>	<b>Shared Services Business Plans (Key)</b>	<b>205 - 236</b>
<b>12.</b>	<b>Milton Country Park Financial Support</b>	<b>237 - 262</b>

### **Exclusion of Press and Public**

The law allows Councils to consider a limited range of issues in private session without members of the Press and public being present. Typically, such issues relate to personal details, financial and business affairs, legal privilege and so on. In every case, the public interest in excluding the Press and Public from the meeting room must outweigh the public interest in having the information disclosed to them. The following statement will be proposed, seconded and voted upon.

"I propose that the Press and public be excluded from the meeting during the consideration of the following item number(s) ..... in accordance with Section 100(A) (4) of the Local Government Act 1972 on the grounds that, if present, there would be disclosure to them of exempt information as defined in paragraph(s) ..... of Part 1 of Schedule 12A of the Act."

If exempt (confidential) information has been provided as part of the agenda, the Press and public will not be able to view it. There will be an explanation on the website however as to why the information is exempt.

### **Guidance notes for members of the public**

Members of the public are welcome to view the live stream of this meeting, except during the consideration of exempt or confidential items, by following the link to be published on the Council's website.

Any person who participates in the meeting in accordance with the Council's public question time, is deemed to have consented to being recorded and to the use of those images (where participating via video conference) and/or sound recordings for webcast purposes. When speaking, members of the public should not disclose any personal information of any individual as this might infringe the rights of that individual and breach the Data Protection Act.

If a member of the public interrupts proceedings at a meeting, the Chairman will warn the person or persons concerned. If they continue to interrupt, the Chairman will order their removal from the meeting. The meeting may be suspended until order has been restored.

For more information about this meeting, including access arrangements, please contact [democratic.services@scams.gov.uk](mailto:democratic.services@scams.gov.uk)

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# Agenda Item 4

## SOUTH CAMBRIDGESHIRE DISTRICT COUNCIL

Minutes of a meeting of the Cabinet held on  
Monday, 18 November 2019 at 10.00 a.m.

PRESENT: Councillor Bridget Smith (Leader of Council)  
Councillor Dr. Aidan Van de Weyer (Deputy Leader of Council (Statutory))

Councillors:	Neil Gough	Deputy Leader
	Bill Handley	Lead Cabinet Member for Environmental Services and Licensing
	Dr. Tumi Hawkins	Lead Cabinet member for Planning
	Hazel Smith	Lead Cabinet member for Housing
	John Williams	Lead Cabinet member for Finance

Officers in attendance for all or part of the meeting:

Jonathan Malton	Cabinet Support Officer
Rory McKenna	Deputy Head of Legal Practice
Ian Senior	Democratic Services Officer
Liz Watts	Chief Executive

Councillors Anna Bradnam, Grenville Chamberlain and Dr. Douglas de Lacey were in attendance, by invitation.

### 1. APOLOGIES FOR ABSENCE

There were no Apologies for Absence.

### 2. DECLARATIONS OF INTEREST

There were no declarations of interest.

### 3. ANNOUNCEMENTS

There were no announcements.

### 4. EXCLUSION OF PRESS AND PUBLIC

By affirmation, Cabinet **resolved** that the press and public be excluded from the meeting during consideration of item 5 (Senior Management Restructure) in accordance with the provisions of Section 100(a)(4) of the Local Government Act 1972 (exempt information as defined in paragraphs 1, 2 and 4 of Schedule 12A (as amended) of the Act).

Paragraph 1 refers to information relating to any individual.

Paragraph 2 refers to information which is likely to reveal the identity of an individual.

Paragraph 4 refers to information relating to any consultations or negotiations, or contemplated negotiations, in connection with any labour relations matter arising between the authority, or a Minister of the Crown and employees of, or office holders under, the authority.

## 5. SENIOR MANAGEMENT RESTRUCTURE

Cabinet considered a report from the Chief Executive.

The Chief Executive verbally summarised the briefing sessions that had taken place and gave a verbal report on discussion that took place at the Employment and Staffing Committee meeting held on 14 November 2019.

Referring to the drivers for change highlighted in the report, Councillor Dr. Douglas de Lacey requested that the talents of every individual should be rewarded, and that staff should feel valued. The Chief Executive agreed with this point.

The Leader thanked the Chief Executive for the purposeful way in which the restructure had been conducted.

Cabinet

- a. **noted** the verbal feedback from the Employment and Staffing Committee meeting held on 14 November 2019;
- b. **approved** the proposed structure and noted the outline process set out in the report from the Chief Executive, starting with a 30-day consultation with those staff directly affected; and
- c. **delegated** authority to the Head of Paid Service (the Chief Executive) to make minor amendments to the structure where necessary, following the 30-day consultation, in consultation with Chair of the Employment and Staffing Committee and the Leader of the Council.

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**The Meeting ended at 10.18  
a.m.**

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## **SOUTH CAMBRIDGESHIRE DISTRICT COUNCIL**

Minutes of a meeting of the Cabinet held on  
Wednesday, 4 March 2020 at 9.30 a.m.

**PRESENT:** Councillor Bridget Smith (Leader of Council)  
Councillor Dr. Aidan Van de Weyer (Deputy Leader of Council (Statutory))

<b>Councillors:</b>	Neil Gough	Deputy Leader
	Bill Handley	Lead Cabinet Member for Environmental Services and Licensing
	Hazel Smith	Lead Cabinet member for Housing
	John Williams	Lead Cabinet member for Finance

Officers in attendance for all or part of the meeting:

Kirstin Donaldson	Head of New Build
Susan Gardner Craig	Interim Director of Corporate Services
Clare Gibbons	Northstowe Healthy New Town Programme Lead
Peter Maddock	Head of Finance
Jonathan Malton	Cabinet Support Officer
Rory McKenna	Deputy Head of Legal Practice
David Ousby	Head of Commercial Development & Investment
Ian Senior	Democratic Services Officer
Kate Swan	Leasehold Services Co-ordinator
Liz Watts	Chief Executive

Councillors Anna Bradnam, Nigel Cathcart, Grenville Chamberlain and Heather Williams were in attendance, by invitation.

### **1. APOLOGIES FOR ABSENCE**

Councillors Dr. Claire Daunton, Dr. Tumi Hawkins, and Dr. Douglas de Lacey sent apologies for absence.

### **2. DECLARATIONS OF INTEREST**

There were no declarations of interest.

### **3. MINUTES OF PREVIOUS MEETING**

Cabinet **authorised** the Leader to sign, as a correct record, the public version of the Minutes of the meeting held on 5 February 2020, subject to the following:

#### **Attendance List**

The addition of Councillor Anna Bradnam as having been in attendance.

#### **Minute 16 – HRA Revenue and Capital Budget**

Clarification that the Decent Homes Standard is set by the Government, rather than by South Cambridgeshire District Council.

### **4. ANNOUNCEMENTS**

The Leader announced she and the Chief Executive would be meeting the Mayor of the

Cambridgeshire and Peterborough Combined Authority on Thursday, 5 March 2020

## 5. PUBLIC QUESTIONS

There were no public questions.

## 6. ISSUES ARISING FROM THE SCRUTINY AND OVERVIEW COMMITTEE

Cabinet **received and noted** a report from Councillor Grenville Chamberlain, Chairman, Scrutiny and Overview Committee, and Councillor Brian Milnes, Vice-Chairman, Scrutiny and Overview Committee, informing it about the discussions at, and recommendations from the Committee's meeting held on 13 February 2020.

The report related to:

- Proposed Allocation Policy for the distribution of faith/community land at Northstowe
- 2019-20 Quarter Three Performance Report
- 2019-20 Revenue and Budget Proposal for 2020/21
- Investment Partnerships: Legal Agreements
- Town Centre Development – Northstowe Phases 1 and 2

## 7. PROPOSED ALLOCATION POLICY FOR THE DISTRIBUTION OF FAITH/COMMUNITY LAND IN THE NEW COMMUNITY OF NORTHSTOWE

Cabinet considered a report setting out the proposed policy for Faith Land Allocation for Northstowe and inviting Members to consider whether the allocation policy should be applied to all growth sites subsequently. Councillor Neil Gough, Deputy Leader, presented the report and addressed the concerns highlighted from Scrutiny and Overview regarding small faith groups within the district.

The Northstowe Healthy New Town Programme Lead officer responded that Councillor Shrobona Bhattacharya's concerns about the extent to which the Policy addressed the interests of smaller Faith groups had been taken into account at a Faith Strategy meeting held in Northstowe. Councillor Grenville Chamberlain acknowledged Councillor Neil Gough's statement, and supported the changes to the report.

After Members commented on the clarity of the report, Cabinet,

- (a) **Endorsed** the proposed policy which has been developed in conjunction with the faith groups to which it will be applied;
- (b) **Agreed** the application of this Policy to growth sites across the District, subject to a change in the assessment matrix to reflect the benefit of the applicant faith group to the wider community.

## 8. 2019-20 QUARTER 3 PERFORMANCE REPORT

Cabinet received, reviewed and noted a report on the latest performance data across the Council, Councillor Neil Gough (Deputy Leader) commented on the improvement of the Contact Centre's data, and that for waste collection but also highlighted the figures for Bed and Breakfast usage, staff sickness and the percentage of formal complaints being resolved.

After a short discussion, Cabinet:

**Noted** the Operational Key Performance Indicator (OKPI) results and comments at Appendix A to the report.

#### 9. **2019-2020 REVENUE AND CAPITAL BUDGET MONITORING**

Cabinet considered a report which had been prepared to provide the latest monitoring information in respect of the 2019-2020 revenue and capital budgets.

Councillor Heather Williams noted the significant underspend across the Council, but Councillor Bridget Smith, the Leader of the Council, requested it to be considered in the context of each department's budget.

Following further comments, Cabinet:

- a) **Acknowledged** the 2019/2020 revenue budget position against the approved revenue budget shown in Appendices A, B(1) and B(2) to the report, the major variances with reasons for these variances and the action being taken to address the underlying issues;
- b) **Acknowledged** the latest position in respect of the Capital Programme 2019-2020 to 2023-2024 and the variances as shown in Appendix C.

#### 10. **COMMUNAL ROOM REVIEW PROJECT - DECISION REQUIRED REGARDING THE FUTURE USE OF THE LIMES/LIMES CLOSE SHELTERED COMMUNAL ROOM**

Cabinet considered a report on the future use of the Limes/Limes Close sheltered communal room in Bassingbourn. The Leasehold Service Team Leader noted a further meeting had taken place with Bassingbourn Parish Council, which had expressed satisfaction with the final outcome.

Councillor Nigel Cathcart, the local Member for Bassingbourn, described the transfer as a long-term benefit for the community, and was pleased with the proposed decision, Councillor Heather Williams endorsed the local Member's these comments.

Councillor Bridget Smith, the Leader of the Council, concluded by thanking officers for their work on this project, and Cabinet:

**Approved** the decision to transfer the building to Bassingbourn Parish Council on a 99-yr full repairing lease at a peppercorn rent for use as a village community hall, with the costs of transfer being split 50:50 between the district and parish councils, up to a maximum value in total of £18,000.

#### 11. **DATE OF NEXT MEETING**

Cabinet noted that its next scheduled meeting would be on Wednesday, 1 April 2020 starting at 9.30am.

#### 12. **EXCLUSION OF PRESS AND PUBLIC**

Cabinet **agreed** by affirmation that the press and public be excluded from the meeting during consideration of item numbers 13, 14 and 15 in accordance with the provisions of Section 100(A)(4) of the Local Government Act 1972 (as amended) (exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A of the Act). Paragraph 3 refers to

information relating to the financial or business affairs of any particular person (including the authority holding that information).

### 13. MINUTES OF PREVIOUS MEETING

Cabinet **authorised** the Leader to sign, as a correct record, the exempt version of Minute 20 (Ermine Street Business Plan) and Minute 21 (Third Party Loan) of the minutes of the meeting held on 5 February 2020.

### 14. INVESTMENT PARTNERSHIPS: LEGAL AGREEMENTS

Cabinet considered an exempt report regarding a Members' Agreement in respect of two proposed investment partnerships.

The Chief Executive responded to comments made by Councillor de Lacey, who had been unable to attend the meeting.

After further debate, the Leader of the Council, thanked the Officers for their work on this report, and Cabinet **recommended** to Full Council:

- a) The approval of the execution of the Members' Agreements as detailed in the exempt report;
- b) The appointment of Councillor Peter McDonald as the Council-nominated Member, and the designated Chief Operating Officer as the Council-nominated Officer, to each Investment Partnership Board; and
- c) The appointment of the Head of Commercial Development & Investment as the Officer to represent the Council on each Investment Team.

Cabinet **agreed** to delegate authority to the Chief Executive, after consultation with the Leader of the Council, to make any minor amendments to the Members' Agreements prior to submission to Full Council.

### 15. TOWN CENTRE DEVELOPMENT - NORTHSTOWE PHASES I AND 2

Cabinet received the exempt report relating to the proposal to construct community buildings in Northstowe and the Council role in the process. The Head of New Build introduced the item.

Following questions and comments by Members, the Leader of the Council, and the Chief Executive spoke of the importance of these assets to the local communities.

Councillor Bridget Smith concluded the discussion and thanked Officers for their continuing work at Northstowe.

Cabinet:

- a) **Approved** the appointment of the Council as the project manager of the community-based projects listed in the exempt report.
- b) **Agreed** that the financial position should be kept under strict review to minimise the exposure to the Council and that a further report on the matter be submitted to a future meeting; and
- c) **Recommended** to Full Council that a Provision be established as set out in the exempt report.

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**The Meeting ended at 10.20  
a.m.**

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# Agenda Item 6



**REPORT TO:**

Cabinet

6 May 2020

**LEAD MEMBER:**

Councillor Grenville Chamberlain, Chairman, Scrutiny and Overview Committee and Councillor Brian Milnes, Vice Chairman, Scrutiny and Overview Committee

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## Update from Scrutiny and Overview Committee

### Purpose

1. This report is to inform Cabinet of the discussions and recommendations agreed by the Scrutiny and Overview Committee at its meeting of 12 March 2020, which Cabinet may wish to consider in its decision making.

### ICT Update and ICT Shared Service Business Plan

2. The committee received an update on ICT from the Deputy Head of ICT. There was a detailed discussion during which questions from committee members were responded to.
3. It was noted by the committee that documentation requested, such as IT Security Policy, Business Continuity Plan and others had still not been provided. The committee also asked about the shared 3C ICT document repository and how it could be accessed, to which it awaits a response.
4. The committee noted that the albeit incomplete Council Anywhere project was delivering significant improvements, but that the resilience of the ICT infrastructure was not being tested frequently enough and following significant changes.

### Shared Services Business Plans 2020/21

5. The committee considered and noted the Shared Legal, Planning, Waste, Internal Audit and Building Control Business Plans.
6. Committee members provided some positive feedback on the shared services, particularly in relation to the Greater Cambridge Shared Waste Service.

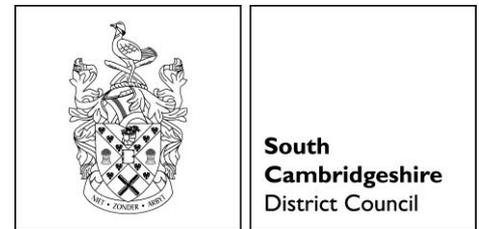
## **Transfer of Community Assets Policy**

7. The Scrutiny and Overview Committee considered this to be an excellent document and members indicated their support for this policy.

### **Report Author:**

Victoria Wallace – Scrutiny and Governance Adviser 01954 713026

# Agenda Item 7



**REPORT TO:** Cabinet

6 May 2020

**LEAD CABINET MEMBER:** Councillor John Williams,  
Lead Cabinet Member for Finance

**LEAD OFFICER:** Liz Watts, Chief Executive

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## Transfer of Community Assets Policy

### Executive Summary

1. To determine a policy for the potential transfer of community assets to relevant third party organisations
2. This is a key decision as the report seeks to establish a policy for considering requests for, and the basis upon which, the potential future transfer of community assets to relevant organisations is made.

### Recommendation

3. **That Cabinet is requested to consider and, if satisfied, approve the draft Community Assets Transfer Policy, attached at Appendix A, as the basis for considering requests for the transfer of community assets to relevant community based organisations.**

### Reason for Recommendation

4. To determine an appropriate framework for the consideration of requests and the basis upon which the potential future transfer of community assets to relevant organisations is made.

### Details

#### Policy Framework

5. There is a need to establish an open, transparent and robust Community Asset Transfer Policy to enable each application to be assessed fairly using sound economic, social and environmental wellbeing criteria.
6. The adoption of a Community Asset Transfer Policy would provide a consistent approach and transparent policy and framework and, as a consequence, demonstrate justification as part of its decision-making process.
7. The draft Community Asset Policy is attached at Appendix A.
8. It is proposed that the policy will be reviewed on a regular basis and updated when required. Reports on individual applications for asset transfer will be submitted for Cabinet approval when necessary.

## Options

9. The option of not adopting the Community Asset Transfer Policy is not considered to be appropriate. Local authorities are accountable to their communities for the management of resources and local politicians and officers operate within local governance frameworks of checks and balances to ensure that decision-making is lawful, informed by objective advice, transparent and consultative. Good governance means that proper arrangements are in place to ensure that an authority's intended objectives are achieved and determining an appropriate framework for the consideration of the potential transfer of community assets to relevant organisations must be a key commitment to ensure that the Council has regard to its financial obligations and that it responds efficiently and effectively to service needs.

## Implications

10. In the writing of this report, taking into account the financial, legal, staffing, risk management, equality and diversity, climate change, community safety and any other key issues, the following implications have been considered:

### *Policy*

11. The report seeks to determine an appropriate policy for the Council to enable the proper consideration and potential transfer of community assets to community based organisations.

### *Legal*

12. Section 123 Local Government Act 1972 provides the power to Local Authorities to dispose of land in any manner (freehold or leasehold) save that S123 imposes a requirement for Local Authorities to obtain the best consideration reasonably obtainable. This is interpreted as being the best price achievable in the open market.
13. Under the same section of the Local Government Act, the Council is also required to publicly advertise any proposed disposal of public open space and to consider any responses prior to determining whether to proceed with the transfer. This will, therefore, be an additional step that must be undertaken where requests are received to transfer any public open space. Any objections received will be reported to the relevant Lead Cabinet Member for consideration.
14. The leasehold disposals under the policy are in most cases likely to be granted at less than best consideration reasonably obtainable. In order to address this, the Council will carry out a cost benefit assessment in each case and/or will consider the Council's powers to dispose of land/property at less than best consideration under well-being powers under the General Disposal Consent 2003. This applies in cases where the Council considers the disposal will help to promote or improve the economic, social or environmental well-being of the area. In each case, a separate report will be prepared for Cabinet and such issues will be addressed as appropriate.
15. In the event that organisations fail to observe and perform the terms and obligations set out in the agreed leases, legal advice from relevant officers will be required detailing remedies available to the Council together with any agreed legal action thereafter (e.g. forfeiting leases and recovering possession of property).

### ***Financial***

16. Overall, it is not expected that the net revenue financial implications of the policy will be material to the Council. In certain circumstances, market rent may be reduced as social return is considered as an offset against this but, ordinarily, the Council will not transfer assets that have, or have the potential to derive, rental income. It is considered, however, that the number of cases where loss of rent may occur will not be significant and may be offset by other arrangements where no rental arrangement is currently in place at all.
17. When the Council is considering the transfer of the management of public open space, special regard will need to be taken of the potential cumulative effect of such transfers; this is because of the benefits of economy of scale that the Council achieves through managing a large portfolio of open space. Disaggregating the maintenance of open space into smaller areas could result in disruption to the efficiency of operations and the utilisation of plant and equipment.
18. In capital terms, opportunities to sell surplus buildings for capital receipts may reduce if assets are transferred in the form of long leases. Appropriate covenants will apply to protect the council taxpayer interests.

### ***Staffing***

19. As the policy goes live there may be several organisations applying for leasehold interests under the terms of the policy. As a consequence, this will impact on the resources and officers time (e.g. the preparation of draft leases, negotiating the final form and deducing the Council's freehold title (where applicable to do so).
20. There are further resource implications for the Council's property related staff and legal costs should these not be recovered from the applicant. Existing workloads might require that external solicitors would be required to undertake the legal work.

### ***Risk***

21. The proposed policy seeks to protect the Council from the risks associated with the transfer of assets and includes measures to ensure a proper legal framework for an agreed transfer and to mitigate future losses that may arise (e.g. covenants to protect the Council from future uplift in the value of assets).

### ***Environmental***

22. There are no environmental implications directly arising directly from the report.

### ***Equality Analysis***

23. The report is exclusively a support or administrative process and has no direct relevance to the Council's duty to promote equality of opportunity, promote good relations and eliminate unlawful discrimination.

## Background Papers

Where the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 require documents to be open to inspection by members of the public, they must be available for inspection:

- (a) at all reasonable hours at the offices of South Cambridgeshire District Council;
- (b) on the Council's website; and
- (c) in the case of documents to be available for inspection pursuant to regulation 15, on payment of a reasonable fee required by the Council by the person seeking to inspect the documents at the offices of South Cambridgeshire District Council.

The following documents are relevant to this report:

- Business Plan 2019 - 2014 – Report to Council: 21 February 2019

## Appendices

A Transfer of Community Assets Policy

### Report Authors:

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## **Transfer of Community Assets Policy**

**June 2020**

## **Introduction**

1. This policy sets out the circumstances and conditions under which the Council will consider the transfer of interests (partial or full) in property, i.e. land and/or buildings or infrastructure, to third parties.
2. This policy establishes the nature of the organisations to which the Council will consider an asset transfer, the basis of the transfer and how requests will be processed. It establishes a transparent process for this to occur.
3. The general power of disposal (section 123 of the Local Government Act 1972) gives a local authority the power to dispose of land held by it in any manner it wishes provided that the local authority achieves the best consideration that can reasonably be obtained except where the disposal is for a short tenancy (the grant of a term not exceeding seven years or the assignment of a term which has not more than seven years to run) or the local authority has the consent of the Secretary of State. The Secretary of State has issued a general consent for disposals of land under section 123 for less than best consideration. This allows a local authority to dispose of land for less than best consideration if it considers that the disposal will contribute to the promotion or improvement of the economic, social or environmental well-being of its area and the extent of the undervalue is no more than £2 million.
4. Related adopted Council policies and procedures include: Housing Revenue Account Sustainability Policy (Disposals and Acquisitions) 2013 and the Community Right to Bid Process 2014. This policy relates to transfers not covered by these policies and procedures.
5. This policy does not apply to community assets that have been acquired by compulsory purchase on behalf of a third party.

## **Eligible Organisations**

6. The Council will, as far as its property assets are concerned, consider a transfer to community based organisations that provide a service to the whole community and where the use of the facility will continue to be available to all residents within the district. This will not preclude the casual hiring of facilities to members of the public, clubs etc.

## **Basis of Transfer of Council Assets**

7. The Council has established criteria that sets out the basis of the interest in its assets that will be transferred to third parties. These criteria, which are set out below, also provide some basic principles regarding the future management of the asset:
  - (a) Any property interest transferred must be retained for the purpose for which it is transferred. It must be managed to at least the same standard as is currently provided by the Council for other similar property, and in a way that is compliant with all planning, licensing and other relevant regulations.
  - (b) The Council will need to be satisfied that there is no other suitably qualified party who also wishes to take over the management of the property that is subject to the request.

- (c) The Council will generally only transfer a leasehold interest. The lease will set out what has been agreed between the Council and the applicant regarding future provision of services from the property. The maximum length of lease will be 99 years, although leases may be for a shorter period. Only in exceptional circumstances will the Council consider leases for a longer period. Extensions to leases can be considered on a case-by-case basis.
- (d) All leases will contain a provision to enable the Council to terminate it should the property not be used for the purpose for which it is transferred, unless such changes have been formally agreed in writing.
- (e) The Council may seek to charge a rent for any property transferred.
- (f) The party receiving the property and/or open space interest will be expected to bear all costs of managing and maintaining the property and the transfer of a property interest does not imply any ongoing financial assistance from the Council. For clarity property shall include, in the case of the transfer of open space, any play areas, structures, trees, bedding, footpaths, lighting, drains, gullies, culverts, fencing, driveways, flag poles etc situated upon or forming part of the transferred open space. Adequate insurance must be maintained for the duration of the transfer and, in some cases, the Council may continue to insure any buildings transferred and, in such cases, will recover the cost of this from the party to whom the building is transferred.
- (g) The Council will not ordinarily transfer an interest in an asset where that asset either generates a profit/rent or where a profit/rental could be derived from it, or where the asset has development potential that could generate a future capital receipt. Income from casual hirings e.g. football pitches on an area of open space would not, for the purposes of this provision, constitute profit/rent.
- (h) In exceptional circumstances, the transfer of an interest in an asset with a small or nominal financial consideration could be considered where an assessment of the services to be provided shows the community benefit to be of greater value than the capital or profit/rental value. In practice, this will exclude assets which have a high market value for alternative uses.
- (i) If the organisation to which the asset is transferred is wound up or liquidated the lease will enable the Council to regain possession of the asset either for use by itself or by others.
- (j) The Council will propose a standard lease document to ensure a smooth and quick asset transfer. The organisation receiving the interest in the asset will be expected to bear their own costs. The lease document will include an option for the Council to co-invest in energy efficiency or generation schemes.
- (k) Whilst casual hirings and lettings will be permitted, any longer-term arrangements with third parties will require the Council's express approval to ensure that the property remains available for the purpose it was released.
- (l) The Council would encourage and welcome investment in assets made available to community groups and, in some cases, may require applicants to raise or bid for external funding to enable investment in the asset as a condition of the transfer. However, any proposed major works would require the Council's prior approval, the purpose again being to ensure that the property remains suitable for the use for which it was released (or any subsequently agreed variation).

- (m) Upon completion of the lease of the asset, the Council will undertake annual monitoring as part of its Corporate Asset Plan to ensure that the asset continues to be used for the benefit of the community as set out in the lease, that the asset continues to be properly maintained, that the lease terms are complied with and the lessees are maintaining acceptable levels of continued community use. Should failings be identified, resolution will be sought by the Council. Where satisfactory resolution of any failing is not possible the Council will consider forfeiting the lease and returning the asset to it.
- (n) At the end of any lease the Council will expect the property to be returned in the condition that it was made available.

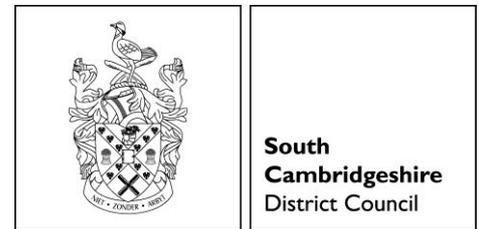
## **Determining Applications for the Transfer of Council Assets**

- 8. This section sets out how the Council will respond to, assess and determine requests it receives for the transfer of an interest in any of its assets.
- 9. All requests should initially be submitted in writing to the Democratic Services Manager who will co-ordinate the response to all requests. Organisations applying for an asset to be transferred at below market value will be expected to provide the reasons and rationale in a Business Case.
- 10. Each request will be considered initially by the Head of Service responsible for the property. Applications that fall outside the criteria set out in this policy will be advised within 28 days, with details of why this has occurred.
- 11. The Head of Service, in consultation with the Head of Finance and other officers, if relevant, will review the application having regard to the following matters together with any other that are considered relevant in respect of each application:
  - (i) that the applicant has the skills to manage the property on an on-going basis and the capacity and capability to meet the responsibilities in respect of legislative requirements;
  - (ii) that the applicant has the financial resources and skills to continue to manage the facility, including how the applicant will manage the asset as it ages, including a commentary of its eventual replacement plan if this occurs during the life of the lease;
  - (iii) that the applicant has a sound governance and operational management structure to fulfil its legal liabilities associated with the property, such as health and safety and equalities, and that the organisation will demonstrate appropriate accountability to the local community;
  - (iv) how, via the proposed business plan etc, the applicant will continue to provide benefit to the community and continued public access to the facility;
  - (v) the impact of the proposal on existing operational property and/or open space and the Council's property and open space portfolio and, in particular, any potential fragmentation of management of contiguous areas of property;
  - (vi) any financial implications that will affect the Council arising from the proposal;

- (vii) the identification of any legal restrictions that prevent the Council releasing the property as requested;
  - (viii) agreement with the applicant of the proposed use to which the property and/or open space will be put and specifically, in the case of open space, the standards to which the open space and any property on it will be maintained and managed. This will form a key term in any lease granted;
  - (ix) that the transfer of the asset will not adversely impact on the Council's ability to continue to deliver the service provided by the asset;
  - (x) that the application is consistent with the Council's approved Business Plan;
  - (xi) in dealing with the application the Council will have regard to the unrestricted value of the property (i.e. the best price reasonably obtainable for the property), and
  - (xii) ensuring that any proposed disposal at an undervalue will be in accordance with any statutory requirements prevailing at that time.
12. The Head of Service will also consult with Ward Councillors to obtain their view on the application. This will not occur in situations where an individual Member has a personal and prejudicial interest and, for example, is, in another capacity, a member of the organisation making the application.
  13. In receiving the views of the Ward Councillors, the Head of Service will then consult with, and obtain the views of, the relevant Lead Cabinet Member.
  14. Upon receipt of the views of the relevant Lead Cabinet Member and having completed all other investigations as set out in the document, and taking all the facts into consideration, the Head of Service will determine whether the requested transfer could be recommended for approval.
  15. If more than one party is interested in the same asset, the above criteria will be used to assess applications against each other.
  16. The Head of Service will prepare and submit a report to Cabinet recommending that the request is recommended for approval or not. In either situation, reasons will be given for the recommendation made.
  17. The Head of Service will notify the applicant of the outcome of the application within 21 days of the decision of Cabinet and will notify the Democratic Services Manager that the original request has now been dealt with.
  18. If the application includes the transfer of open space the proposed disposition will be advertised (as required by statute) and objections considered by the relevant Lead Cabinet Member (based on a report received for officers) prior to the final decision being made on the transfer.

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# Agenda Item 8



**REPORT TO:** Cabinet 6 May 2020

**LEAD CABINET MEMBER** Councillor John Williams

**LEAD OFFICER:** Peter Maddock - Head of Finance

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## **Council Tax Discretionary Reductions (under s13a of The Local Government Finance Act 1992)**

### **Executive Summary**

1. To consider a refreshed policy that outlines the procedure and decision-making process for application for a discretionary reduction in Council Tax, under s13a of The Local Government Finance Act 1992
2. This is a key decision as it incorporates the Council's general discretion to award discretionary Council Tax reduction on both an individual basis, and by class of cases, which could affect residents across all wards.

### **Recommendations**

3. It is recommended that Cabinet adopts the revised policy as shown in Appendix B.

### **Reasons for Recommendations**

4. In order to ensure fair and consistent decision making, the Council requires a policy that outlines the process and procedure by which discretionary reductions of Council Tax may be sought.
5. The decision-making process outlined in the previous version of the policy did not facilitate expedient decision making as it required all applications to be determined by Cabinet, which itself requires a degree of forward planning and scheduling of matters for consideration. Equally, the public nature of Cabinet decision-making is not conducive to the requirement for confidentiality and sensitivity around the personal circumstances of individuals, which will generally require documentary evidence of the financial situation, amongst other things.
6. Since the previous policy was adopted, the Valuation Tribunal has determined that it does have jurisdiction to entertain appeals relating to any Council's decision to refuse discretionary relief. This has been updated in the revised policy.
7. In response to the COVID-19 emergency, the Government has provided funding to Local Authorities to provide to a hardship fund discount, to be delivered under the Council's

discretionary powers under section 13a(1)(c) of the Local Government Finance Act 1992. Details of how this will be delivered have also been incorporated into the policy.

## Details

8. Under section 13 of The Local Government Finance Act 1992, the Council has discretionary powers to reduce or remit the amount of council tax payable to any amount it sees fit, including reducing the amount payable to zero. This power may be exercised in relation to an individual case, or by determination of a group of cases, perhaps where a number of properties are affected by flooding, for example.
9. Whilst it is not a legal requirement for the Council to adopt a policy on such matters, it is considered by The Valuation Tribunal that it would be difficult to see how such open-ended discretion could be satisfactorily exercised in the absence of a formal policy.
10. Any policy under these powers should set out of factors for consideration when reviewing an application, whilst being mindful not to prescribe circumstances for when a reduction may or may not apply, as it is essential that each case is considered on its own merits.
11. In April 2013, the Portfolio Holder adopted a policy relating to the determination of applications via this mechanism. This policy can be found in Appendix A.
12. The policy set out the broad framework under which decisions should be reached, in that it is ordinarily expected that there are exceptional circumstances to justify any reduction, which should be intended as short-term assistance only. It is also expected that all other routes are exhausted prior to seeking assistance via this method.
13. In October 2019, two applications for support were received. The 2013 policy required that decisions on such matters be determined by Cabinet within 21 days, yet the forward plan requirements for Cabinet did not allow for such a quick decision.
14. In addition, the requirement for confidentiality when considering the personal circumstances of individuals was not aligned with the public nature of Cabinet decision-making. Therefore, a report was brought before Cabinet requesting that decision-making be delegated to the Lead Cabinet Member for Finance, until such time as the policy could be reviewed.
15. The policy review has now been completed, and the updated version can be found in APPENDIX B. In addition to an updated decision-making process, updates have also been carried out to clarify the right of appeal.
16. Whilst the key principles that should be accounted for when reaching determinations in such matters remain largely of the same ethos, the policy itself has been updated to reflect a more structured process for decision-making. Where applicants remain dissatisfied with the outcome of such decisions, the policy now reflects accurately the right of appeal, along with details of where further information can be found.
17. The policy has been updated to clearly reflect the obligation of applicants to continue payment of Council Tax as demanded, and also sets out that any reduction awarded could be recovered should it later transpire that the information that the decision was based upon was incorrect or incomplete.

18. The policy has been updated as a result of the Covid 19 hardship fund award from Ministry of Housing Communities and Local Government, under section 10.

## Options

1. There are two Options that are available to Cabinet in this matter:

OPTION 1 – adopt the revised version of the policy

OPTION 2 – defer adoption of the revised policy pending further revision, if it is felt that this is required.

It is recommended that Cabinet adopts Option 1.

## Implications

19. In the writing of this report, taking into account financial, legal, staffing, risk, equality and diversity, climate change, and any other key issues, the following implications have been considered:-

## Financial

20. The full cost of any reduction under s13a of The Act falls to South Cambridgeshire District Council. Therefore, in each case consideration should be given as to whether a reduction of Council Tax in this matter is in the interests of local Council Tax payers.

21. The Council has been provided with funding to cover the cost of the Hardship Fund Discount, in response to the COVID-19 emergency.

## Legal

22. Section 13A (1) (c) of the Local Government Finance Act 1992 empowers a billing local authority as follows:

*“(1) where a person is liable to pay Council Tax in respect of any chargeable dwelling and any day, the billing authority for the area in which the dwelling is situated may reduce the amount which he is liable to pay as respects the dwelling and the day to such extent as it thinks fit.*

*(2) The power under subsection (1) above includes power to reduce an amount to nil.*

*(3) The power under subsection (1) may be exercised in relation to particular cases or by determining a class of case in which liability is to be reduced to an extent provided by the determination.”*

23. Whilst not a statutory requirement, the adoption of a formal policy to aid determinations ensures a transparent and consistent approach, reducing the risk of legal challenge.

24. Advice has been sought by 3c Legal in this matter, and their recommendations have been incorporated into the new policy.

## **Appendices**

Appendix A: Policy and accompanying report, April 2013

Appendix B: Council Tax Discretionary Reduction Policy 2020

## **Report Authors:**

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**SOUTH CAMBRIDGESHIRE DISTRICT COUNCIL**

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**REPORT TO:** Finance and Staffing Portfolio Holder

16 April 2013

**AUTHOR/S:** Revenues Manager

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**POLICY FOR GRANTING LOCAL DISCOUNTS FOR COUNCIL TAX****Purpose**

1. To request that the Portfolio Holder formally adopt a policy for the granting of local discounts for Council Tax.
2. This is a key decision because it is of such significance to the Council and the services that it provides, that the author is of the opinion that it should be treated as a key decision.

**Recommendations and Reasons**

3. That the Finance and Staffing Portfolio Holder formally adopt as a policy the "Protocol and Guidance for the granting of Local Discounts for Council Tax" shown at Appendix 1.
4. It is important that the Council's policy in relation to local discounts is clear and that there is a defined framework for determining individual applications

**Background**

5. Under Section 13A of the Local Government Finance Act 1992 (as inserted by Section 76 of the Local Government Act 2003), the Council has the power to reduce liability for Council Tax in relation to individual cases or class (es) of cases that it may determine and where national discounts and exemptions cannot be applied. It says:
  - Where a person is liable to pay council tax in respect of any chargeable dwelling and day, the billing authority for the area in which the dwelling is situated may reduce the amount which he is liable to pay as respects the dwelling and the day to such extent as it thinks fit.
  - The power under subsection 1 above includes the power to reduce an amount to nil.
  - The power under subsection 1 may be exercised in relation to particular cases or by determining a class of case in which liability is to be reduced to an extent provided by the determination. For example a fire may affect a single dwelling or a flood may affect several properties.
6. The Local Government Finance Act 1992 was amended by the Local Government Finance Act 2012, giving local authorities the discretion to reduce the amount of Council Tax a person has to pay. This is different legislation to that, which requires an authority to implement a local Council Tax Support scheme from April 2013.
7. However, as part of the requirements for introducing a localised Council Tax Support scheme, each local authority must state the procedure by which a person can apply for a discretionary relief under Section 13A (1) (c) of the 1992 Act. This has given rise for the need to amend the existing policy agreed in October 2011. The amendments can

be seen in Section 3 with additional paragraphs 3.2 and 3.3 and Section 6 paragraph 6.1 and 6.2.

8. The cost of any reductions made under Section 13A (1) (c) remain fully borne by South Cambridgeshire District Council and not the precepting authorities

**Considerations**

9. It is proposed to set out guidelines under which any individual application for a reduction under Section 13A would be considered. Each case would be considered on its merits but the guidelines are intended to ensure that a consistent approach is taken and that applicants understand how their application will be assessed.
10. The new Council Tax Support scheme introduced from April 2013 is similar to the previous Council Tax Benefit scheme in that awards are means tested and based on the applicant's income, capital and family make up.
11. A Section 13A reduction would be considered only in exceptional circumstances where the tax payer is unable to meet the legal obligation to pay their Council Tax liability and they have taken all reasonable steps to resolve the situation themselves.
12. Without a framework for considering applications there is a risk of damage to the Council's reputation if a customer took their case to the Ombudsman.

**Options**

13. The options are limited. Adopting the policy outlined in this report will assist in achieving collection targets, savings targets and will mitigate the risk of legal challenge.

**Implications**

14.	Financial	<p>The cost of any reduction under Section 13A falls to South Cambridgeshire District Council.</p> <p>It is anticipated that any discounts are likely to be few in number and for short periods</p>
	Legal	<p>The Local Government Act 2003, Section 75, introduced Section 13A Billing Authority's (Power to Reduce Amount of Tax Payable) into the Local Government Finance Act 1992</p> <p>Until the power under section 13A was created there was no legal basis for a Local Authority to reduce the amounts of Council Tax on the basis of potential hardship of the charge payer</p>
	Staffing	None
	Risk Management	Without a framework for considering applications there is a risk of damage to the Council's reputation if a customer took their case to the Ombudsman.

Equality and Diversity	We ensure that revenue collection and benefits administration are delivered in a fair and consistent manner to all members of the community.
Equality Impact Assessment completed	Yes: An Equalities Impact Assessment has been carried out and shows no adverse impacts on Protected Characteristics.
Climate Change	None

**Consultations**

- 15. None

**Consultation with Children and Young People**

- 16. None

**Effect on Strategic Aims**

- 17. The policy will ensure the targets set continue to reflect a high standard of service, particularly in consideration of the current economic climate.
- 18. Targets are set in consideration of the current economic climate in order to facilitate a balanced approach to collection. We aim for high collection levels but recognise the increased difficulty some residents and businesses will experience in paying bills. Those who are entitled to benefit and reliefs are encouraged to apply and applications are dealt with swiftly.

**Conclusions / Summary**

- 19. The adoption of a formal policy will ensure recovery and collection will remain at the forefront of our priorities and enable staff to work in accordance with the associated legislation.

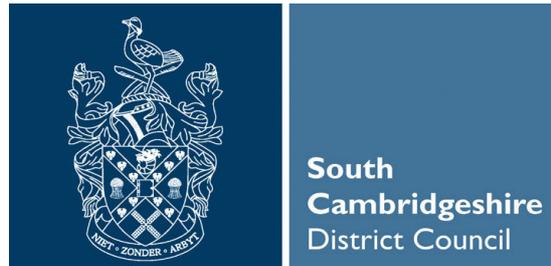
**Background Papers:** the following background papers were used in the preparation of this report:

None

Appendix 1: Policy Document

**Contact Officer:** Phil Bird – Revenues Manager  
Telephone: (01954) 713335





## **REVENUES SERVICES**

# **PROTOCOL AND GUIDANCE FOR THE GRANTING OF LOCAL DISCOUNTS FOR COUNCIL TAX**

**April 2013**

## **1.0 Scope and Purpose of this Protocol**

1.1 The purpose of this protocol is to establish a framework to regulate the granting of local discounts for Council Tax properties and to ensure consistency. The protocol is intended to ensure that the granting of any discount is conducted in accordance with recognised best practice in the following areas:

- Debt collection.
- Accountancy code of practice.
- Audit controls

The policy applies to Council Tax owed to the Council.

## **2.0 Overview**

2.1 The Council has both a statutory and fiduciary duty to ensure that all money that it is owed is collected promptly whenever possible. However, it has discretionary powers to reduce the amount of Council Tax payable to such an amount as it sees fit, including reducing the amount to zero. This power may be exercised in relation to a particular case, or by determining a collection of cases with the same issue. For example a fire may affect a single dwelling or a flood may affect several properties.

## **3.0 Legal Background**

The Local Government Act 2003, Section 75, introduced Section 13A Billing Authority's (Power to Reduce Amount of Tax Payable) into the Local Government Finance Act 1992.

3.2 The Local Government Finance Act 1992 was amended by the Local Government Finance Act 2012, giving local authorities the discretion to reduce the amount of Council Tax a person has to pay. This is different legislation to that, which requires an authority to implement a local Council Tax Support scheme from April 2013.

3.3 As part of the requirements for introducing a localised Council Tax Support scheme, each local authority must state the procedure by which a person can apply for a discretionary relief under Section 13A (1) (c) of the 1992 Act

3.4 In situations where individuals or organisations can apply to the Council under the above provisions for a reduction in Council Tax, the Council should not hamper its discretion by applying a blanket approach.

3.5 Any guidance from the Department of Communities and Local Government or the Institute of Revenues Rating and Valuation will be considered.

## **4.0 Calculation of Rate Relief**

4.1 Any individual application for a reduction under Section 13A would be considered. Each case would be considered on its merits but the guidelines are intended to ensure that a consistent approach is taken and that applicants understand how their application will be assessed

**5.0 Cost to the Council**

- 5.1 The cost of any reduction under Section 13A falls to South Cambridgeshire District Council.
- 5.2 It is anticipated that any discounts are likely to be few in number and for short periods

**6.0 Policy**

- 6.1 Section 13A (1) (c) of the Local Government Finance Act 1992 empowers a billing local authority as follows:

*“(1) Where a person is liable to pay Council Tax in respect of any chargeable dwelling and any day, the billing authority for the area in which the dwelling is situated may reduce the amount which he is liable to pay as respects the dwelling and the day to such extent **as it thinks fit**.*

*(2) The power under subsection (1) above includes power to reduce an amount to nil.*

*(3) The power under subsection (1) may be exercised in relation to particular cases or by determining a class of case in which liability is to be reduced to an extent provided by the determination.”*

- 6.2 The Council will consider using its powers to reduce Council Tax liability for any Council Tax payer. Ordinarily, the Council would expect there to be exceptional circumstances to justify any reduction and that the reduction will be intended as short term assistance and should not be considered as a way of reducing Council Tax liability indefinitely. Each case will be considered on ‘its merits’. The Council will have regard to the following criteria, in particular in relation to an application:

- Requests for reductions in Council Tax liability will be required in writing or by electronic communication from the customer, their advocate/appointee or a duly authorised third party acting on his/her behalf. The request should set out the circumstances on which the application is based and any financial hardship or personal circumstances relating to the application.
- Only applications relating to financial hardship will be considered, not environmental. The purpose of the policy is consider the circumstances of residents who have fallen on hard times
- In receiving a request the Portfolio Holder would expect that there would have to be evidence of exceptional, unforeseen circumstances to justify any reduction and that it will be intended only as short term assistance and must not be considered as a way of reducing Council Tax liability indefinitely.
- The attempts made by the applicant to resolve his/her own personal circumstances. Any application made under Section 13A of the Local Government Finance Act 1992 should be one of last resort and any

entitlement to benefit, discounts or exemptions or Valuation Office/Valuation Tribunal action and appeal should be explored prior to an application being made

- The Council's finances to allow a reduction to be made. The cost of any reduction awarded under Section 13A falls solely to the billing authority and so the determination must bear in mind the impact on the Council Tax payer in general.
- The application will require a full income and expenditure breakdown (Financial statement) of the applicant together with that of any other household members. The Council may request reasonable relevant evidence in support of the application.
- The customer's entitlement to Council Tax Benefit at the property for which the reduction is sought.
- All other discounts/reliefs have been awarded to the customer for which he/she would be eligible.
- If the Council Tax account is in arrears, the Portfolio Holder must be satisfied that non-payment was due to reasonable basis of withholding payment.
- The length of time of the proposed reduction will apply for is a maximum period of twelve months.

## **7.0 Authority to Award Relief**

- 7.1 Cabinet will determine all Section 13A applications. The Portfolio Holder for Finance and Staffing will consider applications and present them to Cabinet with a justification for the discount to be granted. The amount of any discount or reduction will take into account the amount of the debt and/or future liability and the extent to which the criteria or guidelines are met.

## **8.0 Notification of Decision**

- 8.1 The Council will notify a customer of its decision within 21 days of receiving sufficient information to make a decision.

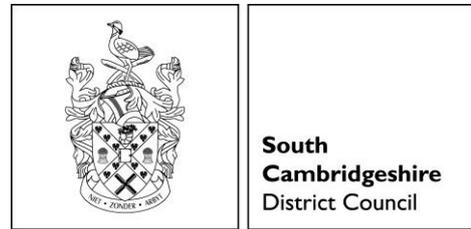
## **9.0 Appeals**

- 9.1 Under the Local Government Finance Act 1992, there is no right of appeal against the Council's use of discretionary powers. However, the Council will accept a customer's written request for a further review of its decision. The Council will then consider whether the customer has provided any additional information against the required criteria that will justify a change to its decision.

## **10.0 Duration of Relief**

- 10.1 The length of time of the proposed reduction will apply for a maximum period of twelve months.

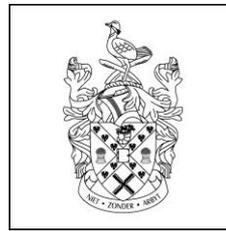
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# Council Tax Discretionary Reduction Policy

(Reductions under s13a (1) of  
The Local Government Finance Act  
1992)

April 2020



## Appendix B

### 1. Introduction

- 1.1 Under section 13A (1) (c) of The Local Government Finance Act 1992, The Council has a general discretion to reduce the council tax payable for any person liable to pay council tax, either on a case by case basis or by class of case, for example, where multiple council tax payers fall into a group because their circumstances are similar.
- 1.2 In order to ensure fair and consistent decision making, the Council is required to adopt a policy setting out the factors for consideration, and the process by which an application for reduction can be made. This policy updates the previous version, "*Protocol and guidance for the granting of local discounts for Council Tax*" that was adopted in April 2013.
- 1.3 Whilst this policy sets out the general principles and factors for consideration, it is important that each case is considered on its merits.
- 1.4 The full cost of any discretionary reduction under s13A (1) (c) falls to the billing authority, and so when considering making an award under this policy, the council should be satisfied that it is reasonable to do so, having regard for its council tax payers.

### 2 Legal Background

- 2.1 Section 13A (1) (c) of The Local Government Finance Act 1992 (as amended) provides the following discretionary powers to a billing authority:

(1) The amount of council tax which a person is liable to pay in respect of any chargeable dwelling and any day (as determined in accordance with sections 10 to 13)—

(a) in the case of a dwelling situated in the area of a billing authority in England, is to be reduced to the extent, if any, required by the authority's council tax reduction scheme (see subsection (2));

(b) in the case of a dwelling situated in the area of a billing authority in Wales, is to be reduced to the extent, if any, required by any council tax reduction scheme made under regulations under subsection (4) that applies to that dwelling;

(c) in any case, may be reduced to such extent (or, if the amount has been reduced under paragraph (a) or (b), such further extent) as the billing authority for the area in which the dwelling is situated thinks fit.

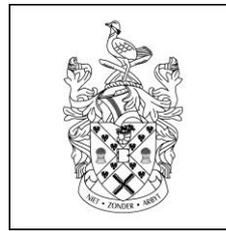
## **Appendix B**

### **3 Key Principles**

- 3.1 In considering any application for a discretionary council tax reduction, consideration should be given to the following principles:
- The Council would expect to see evidence of financial hardship or exceptional personal circumstances in order to justify any reduction.
  - The Council must be satisfied that all reasonable steps have been taken to resolve or improve the situation prior to making an application. This would include, but may not be limited to, applying for any other eligible discounts, exemptions or reductions, or exhausting routes of appeal such as via the Valuation Office Agency or Valuation Tribunal.
  - The applicant should not have access to any other assets or savings that could be used to pay the council tax
  - The Council's finances must allow for a reduction to be made, when considering the effect on council tax yield
  - The Council must be satisfied that it is reasonable to make such an award, having regard to the interests of other local tax payers
  - A discretionary reduction should not normally be awarded where the outstanding council tax has arisen as a result of fraud by the taxpayer, or where the taxpayer has failed to provide information promptly.

### **4 Application Process**

- 4.1 Any application for discretionary reduction under this policy must be made in writing, including via email. However, the Council may waive the requirement for a written application at its discretion, where it is satisfied that it has sufficient information to support such a decision.
- 4.2 Applications must be made by the council tax payer, or by any party authorised by the council tax payer.
- 4.3 Applications must state the reason for the request and detail the circumstances, and supply supporting evidence. The application should also state the period and value of reduction being sought.
- 4.4 Applications must include a full income and expenditure breakdown for the applicant and any other members of the household.



## **Appendix B**

- 4.5 Applicants are required to provide all information reasonably requested by the Council in support of their application. No reduction will be awarded in cases where sufficient information to reach a decision is refused or not provided.

## **5 Decision Making**

- 5.1 Individual applications will be determined by one of the following postholders:

- Revenues Manager
- Benefits Manager

- 5.2 Applications which relate, or could potentially relate, to a class or classes of case (for example, a group of properties affected by flooding) will be determined by Cabinet following consideration of a report from the Chief Finance Officer and the Lead Cabinet Member.

- 5.3 All decisions will be notified to the applicant in writing as soon as practicable, and the Council will normally determine applications within 6 weeks from receiving all required information.

## **6 Period of Award**

- 6.1 The award of a discretionary reduction is normally considered to be a source of temporary assistance and should not be considered as a way of reducing council tax liability indefinitely.

- 6.2 The award would normally cease at the end of the financial year unless an earlier date is specified, but this would not preclude the application from seeking further awards in subsequent years.

- 6.3 Any award under this policy would not normally be backdated more than 12 months, although consideration would be given if the applicant can demonstrate good reason for not applying sooner.

## **7 Requirement to maintain payments**

- 7.1 The receipt of an application or request for review will not in any way negate the obligation to pay the council tax, and there is no entitlement on the applicant to withhold payment pending a decision. As such, action to recover unpaid council tax by the Council would not be paused on receipt of an application.



## **Appendix B**

7.2 In the event that an application is granted and a reduction is awarded, any amount overpaid for the award period will be refunded.

## **8 Overpayments**

8.1 If the Council becomes aware that information contained within an application falling under this policy was incorrect or not declared, intentionally or otherwise, and that the information may affect the decision to award a discretionary reduction, the award may be reversed and the balance recoverable via the normal council tax collection process.

8.2 Supplying false or incorrect information in support of an application under this policy may be considered to be an offence under The Fraud Act 2006. If the Council suspects that fraud may have occurred, the matter will be investigated as appropriate.

## **9 Review of Decision and Appeals**

9.1 Where the applicant is not satisfied with the decision, they may request a review within one calendar month of the decision notice. The review will be carried out by the Chief Finance Officer, in conjunction with the Lead Cabinet Member, and their decision will be final.

9.2 The request for review must set out the reasons why the applicant believes the decision should be amended. New or additional information can be provided, and the decision maker will consider if sufficient information is provided to justify a change to the original decision.

9.3 If the applicant remains dissatisfied with the decision, an appeal can be made to the Valuation Tribunal where either:

- a) The aggrieved person is notified in writing by the council that the council believes the request for review is not well founded, but the person is still aggrieved;
- b) The aggrieved person is notified in writing by the council that steps have been taken to deal with the request for review but the person is still aggrieved;
- c) The period of two months, beginning with the date of service of the aggrieved person's notice, has ended without him being notified under paragraph (a) or (b)

Further information can be found on the Valuation Tribunal website by visiting [www.valuationtribunal.gov.uk](http://www.valuationtribunal.gov.uk)

## Appendix B

### 10 Covid-19 Hardship Fund

- 10.1 In response to the COVID-19 emergency, The Government provided funding to Local Authorities to provide to a hardship fund discount, to be delivered under the Council's discretionary powers under section 13a(1)(c) of the Local Government Finance Act 1992.
- 10.2 South Cambridgeshire District Council will award a hardship payment to all working age LCTS claimants who are entitled for LCTS for any part of 2020-2021 a hardship fund discount of £150 or less if their liability for the remainder of the financial year after LCTS is less (basic award).
- 10.3 Those claimants who are working age and in receipt of an award of Localised Council Tax Support (LCTS) for any part of the council tax liability for 2020-2021 may receive an a reduction in LCTS as a result of the increased awards of UC or WTC.
- 10.4 The Covid Hardship fund will be used to compensate for any reduction in LCTS as a result of this extra income to ensure claimants receiving LCTS will not be financially disadvantage as a result. This additional award will be a supplement to the basic award
- 10.5 The award of any hardship fund discount as detailed will not require a written application those claimants who qualify will be awarded the discount. The total award of hardship awards will not exceed the residents' total liability.

# Agenda Item 9



**South  
Cambridgeshire**  
District Council

**REPORT TO:** Cabinet  
**LEAD OFFICER:** Chief Executive

6 May 2020

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## SHARED SERVICES 2020/21 BUSINESS PLANS

### Purpose

1. To seek Cabinet's comments on and approval of the Shared Services Business Plans 2020/21.
2. This is not a key decision and is being presented to Cabinet in accordance with the protocol set out in the Shared Services Partnership Agreement. It was first published in the January 2020 Forward Plan.

### Recommendations

3. Cabinet is recommended:
  - 1) subject to any comments made, to approve the Business Plans for each of the Shared Services attached in the Appendix hereto; and
  - 2) to authorise the Shared Services Management Board to approve final amendments to the Business Plans in line with comments received from all three partner councils.

### Reasons for Recommendations

4. The Shared Services Agreement requires business plans to be approved every year. The Business Plans ensure the services adhere to the original objectives and contribute towards the partner councils' strategic objectives. The Shared Service Business Plans provide direction and set out how each will meet agreed business cases targets and contribute to delivery of the SCDC Corporate Plan. However, given that three Councils are commenting on these shared plans, a mechanism must be put in place to incorporate those comments. Delegating authority to the Shared Service Management Board will enable final amendments to be made to the Business Plans in line with comments received from all three partner Councils.

### Executive Summary

5. Shared Services have been in existence for almost five years. All Shared Services are extensively engaged in developing the use of technology to deliver greater business efficiency and effectiveness. All the 2020/21 Business Plans look towards transforming the services to deliver against the councils' needs by demonstrating flexibility and agility, while at the same time harmonizing the way the partner councils operate.

6. The Business Plans must be formally endorsed by the three partner councils. Consequently, it is recommended that the Shared Services Management Board is authorised to approve any final amendments to the Business Plans in line with the comments received from the partners.

### **Background**

7. In July 2015, Cambridge City, Huntingdonshire District and South Cambridgeshire District Councils approved a lead authority model for shared services, where an agreed lead council would be responsible for the operational delivery of a service. Business cases for individual services were approved at the same time. It was further agreed that relevant staff would transfer to lead councils under the Transfer of Undertakings (Protection of Employment) Regulations 2006.
8. The partner councils have agreed the following shared services objectives:
  - Protection of services which support the delivery of the wider policy objectives of each council.
  - Creation of services that are genuinely shared between the relevant councils with those councils sharing the risks and benefits whilst having in place a robust model to control the operation and direction of the service.
  - Savings through reduced managements costs and economies of scale.
  - Increased resilience and retention of staff.
  - Minimise the bureaucracy involved in operating the shared service.
  - Opportunities to generate additional income, where appropriate.
  - Procurement and purchasing efficiencies, and sharing of specialist roles which individually, are not viable in the long-term.
9. In 2015 the three councils also entered into a formal sharing Agreement. There followed a considerable amount of work to develop staffing structures, working practices and service parameters. The formal Agreement requires the preparation of individual business plans for the services each year. The Business Plans contain key priorities, objectives, activities, financial information, measures of success and risk mitigation arrangements.
10. The Business Plans contain performance information to the point in the year that they were produced. The Shared Services Management Board monitors performance on a quarterly basis. The Annual Report will contain a comprehensive appraisal of performance and will be published in June / July.
11. Lead Members at each of the partner councils have been consulted on the Business Plans. Their role is to provide advice and oversight, to challenge and recommend for endorsement the Shared Services Business Plans and Budgets. Equally, each of the Shared Services have consulted with the partner councils' management teams and with their customers. Details are contained within each of the Business Plans attached.

### **Considerations**

12. The Business Plans will be implemented within each Shared Service during the year 2020/21. The Head of each Shared Service will be responsible for the overall operation of their service, the delivery of the Business Plan and the achievement of performance and financial targets. These will be monitored by the Shared Services Management Board.

## **Options**

13. An option could be not to support the documents or to recommend amendments. Any major amendments would be required to be considered and agreed by each of the partner Councils.

## **Implications**

14. In the writing of this report, taking into account financial, legal, staffing, risk management, equality and diversity, climate change, community safety and any other key issues, the following implications have been considered: -

## **Financial**

15. The Shared Service business cases contribute to and are in line with the SCDC medium term financial strategy.

## **Staffing**

16. Staffing issues, changes and costs are detailed in each of the Shared Service business plans.

## **Consultation responses**

17. Significant consultation with staff and Unions took place during the establishment of the Shared Services.

## **Effect on Strategic Aims**

### **Aim D - An innovative & dynamic organisation**

18. Improve efficiency and value for money within a viable financial strategy.

## **Background Papers**

Where [the Local Authorities \(Executive Arrangements\) \(Meetings and Access to Information\) \(England\) Regulations 2012](#) require documents to be open to inspection by members of the public, they must be available for inspection: -

- (a) at all reasonable hours at the offices of South Cambridgeshire District Council;
- (b) on the Council's website; and
- (c) in the case of documents to be available for inspection pursuant to regulation 15, on payment of a reasonable fee required by the Council by the person seeking to inspect the documents at the offices of South Cambridgeshire District Council.

No background papers were relied upon in the writing of this report.

**Report Author:** Mike Hill - Director of Housing, Health and Environmental Services  
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**BUSINESS PLAN FOR ICT SHARED SERVICE  
20/2021**

<b>Service Leads</b>			
<b>Head of 3C ICT Shared Service</b>	Sam Smith		
	<b>Cambridge City Council</b>	<b>Huntingdonshire District Council</b>	<b>South Cambridgeshire District Council</b>
<b>Director of Shared Service</b>	Fiona Bryant	Oliver Morley	Mike Hill
<b>Lead Councillor</b>	Cllr Herbert	Cllr Tysoe	Cllr Gough

<b>APPROVED BY</b>	<b>Status</b>	<b>Date</b>
<b>Management Board</b>	Draft	7/10/19
<b>Shared Services Partnership Board</b>	Draft	7/11/19
<b>Joint Advisory Committee</b>	Final draft	
<b>Cambridge City Council</b> [ <i>Executive Councillor and Scrutiny Committee</i> ]	Final	
<b>Huntingdonshire District Council Cabinet</b>	Final	
<b>South Cambridgeshire District Council Cabinet</b>	Final	

<b>3C Reporting timetable</b>	
<p>Progress reports on Business Plan implementation and progress against key measures will be monitored at the quarterly 3C Management Board meetings and then submitted every quarter to the 3C Chief Executives' Board. Quarterly performance reports will be submitted to the Joint Shared Service Group (Leaders) prior to consideration by each partner at executive and scrutiny level.</p> <p>Progress updates in quarterly reports will inform the preparation of annual reports, to be submitted to the partners' decision-making bodies in March 2021 as part of the strategic review process set out in Schedule 2 to the Partnership Agreement.</p>	
<b>Version</b>	<b>Date</b>
<b>V0.1 DRAFT</b>	<b>07 OCTOBER 2019</b>

## SECTION 1: CONTEXT AND OVERVIEW

### A. PURPOSE OF THIS DOCUMENT

This is the Business Plan for the ICT Service, part of 3C Shared Services, for 2020/21. It describes how the shared service arrangement outlined in the approved Business Case will be delivered to ensure objectives are achieved and business benefits are realised within a robust governance framework and in the context of the partner councils' corporate plans.

The following objectives have been agreed:

- Protection of services which support the delivery of the wider policy objectives of each Council.
- Creation of services that are genuinely shared between the relevant councils with those councils sharing the risks and benefits whilst having in place a robust model to control the operation and direction of the service.
- Savings and efficiencies through reduced management costs and economies of scale.
- Increased resilience and retention of staff.
- Minimise the bureaucracy involved in operating the shared service.
- Opportunities to generate additional income, where appropriate.
- Procurement and purchasing efficiencies.
- Sharing of specialist roles which individually, are not viable in the long-term.

The Plan is divided into the following sections:

- Section 1: Context and Overview
- Section 2: Operational Plan (business as usual activities)
- Section 3: Summary of Performance Indicators

In order to deliver a robust and reliable business as usual service, the focus to date has been to address the legacy "technical debt" of the infrastructure that 3C ICT inherited. Overcoming and addressing the variations in technical strategies and infrastructure has been challenging. We are now coming to the end of this phase of work through programmes such as Council Anywhere, Server Room Consolidation, Network improvements and implementation of the Digital Portal. Each of the 3 councils are now in a stronger position and can look forward to including more value added, business led transformation work to their respective development and improvement plans.

As well as technical improvements, 3C ICT as a service have matured and during 19/20 has undergone staffing and internal structural changes. The Head of IT and Digital is in place and as of Autumn 2019 a permanent Deputy Head of IT – Operations has also been recruited. Teams who were once separate have been brought together to provide seamless service over the 3 partners delivering projects and BAU services.

Following on from the delivery of Council Anywhere and the Server Room Consolidation project there is a stable IT platform and key infrastructure that will support transformational change within the three councils and how the councils can use technology to solve their problems.

Within the business plan for 2020/21 there is a focus on standardisation, stabilisation and delivery,

with a view to changes that can be made to improve the service technically and structurally in line with that delivery.

There are still key projects to be delivered, incorporating some of the largest line of business systems (Waste, Housing, Environmental Health) as well as the move to a new network provider (MLL) but overall the direction of travel will be towards a different type of IT delivery. There is a growing need to balance the drive to realise efficiencies with pressures to deliver service improvements.

There are also some challenges. What people want and need from IT & Digital is changing and the service needs to adapt to reflect that. The shape of that change needs to be derived from collaborative work with the three councils and that discussion will take time.

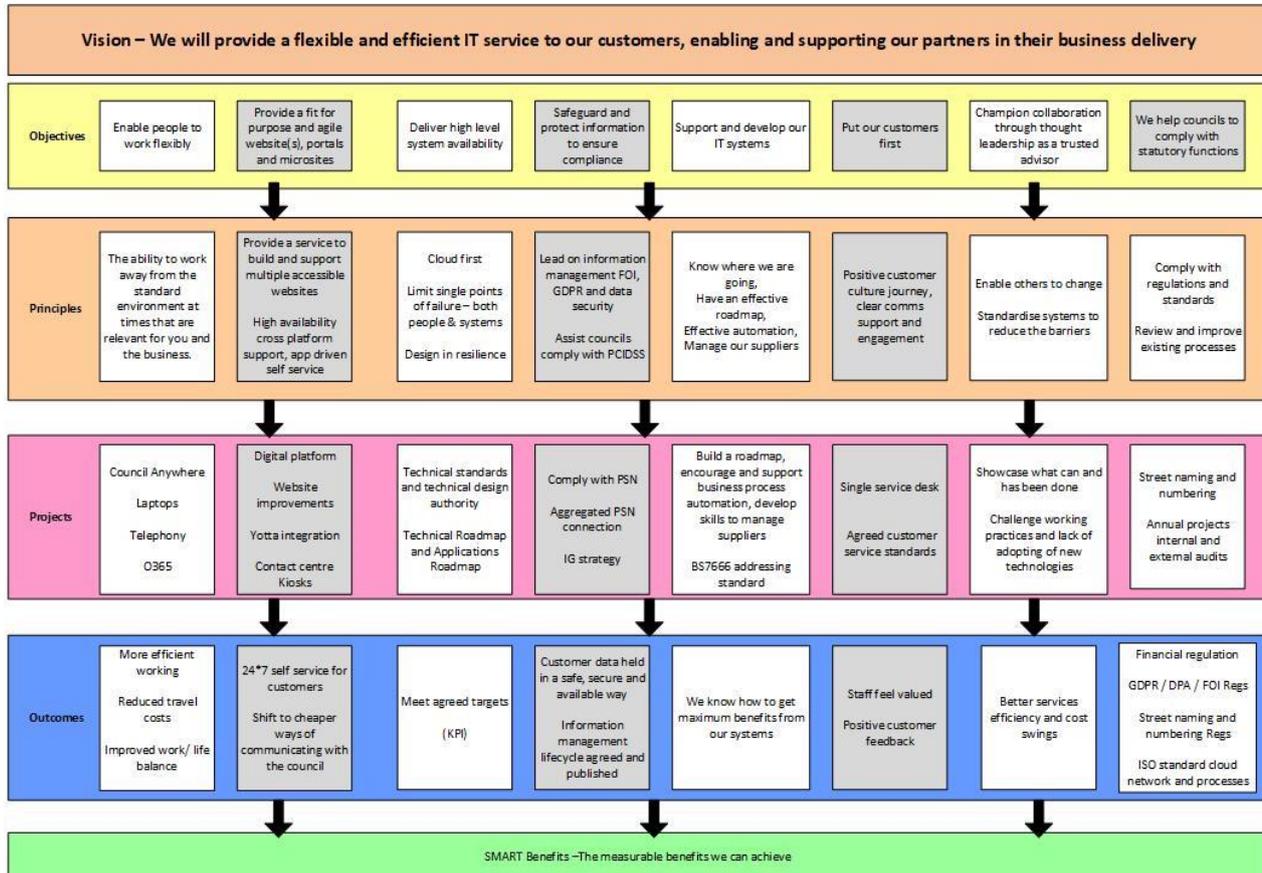
This and other important discussions need to be undertaken by the 3 councils and their IT service to ensure that the IT service is structured and funded in a way that supports the councils in the transformational activities. These discussions are planned but will not be concluded in time for the results to be included in the business plan for 2020/21. The expectation is that the outcomes from those discussions will be worked on and included in the business plan for 2021/22.

Therefore the 2020/2021 Business plan for ICT Shared Service is in effect an update on the existing business plan rather than a substantive change.

## B. DESCRIPTION OF THE SERVICE

### Vision & Objectives

The following diagram summarises the vision and high level objectives for the 3C ICT Shared Service. This has been updated in 19/20:



In essence, the drivers for the ICT Shared Service are:

- **Savings to the 3 councils:** a single shared service increases efficiency and reduces the unit cost of service delivery.
- **Service resilience:** fewer single points of failure, and increased scale enables increased investment in more robust infrastructure, thus reducing probability and impact of service outages.
- **Collaborative innovation:** increased scale enables investment in roles such as technical architect / IT Analyst, which will be the catalyst for accelerating the design and delivery of next generation council services, with Digital First an excellent customer service at their heart. In this way, the 3C ICT Shared Service will contribute to the evolution of council services, a position and level of investment which none of the 3 partner councils could afford on their own.

The partners are increasingly aligning their strategic direction for the service and have signed up to a 5 year Roadmap encompassing the strategic direction for IT and Digital services. There is recognition that 3C ICT is an enabling service that will allow the respective partners to transform the way that Council services are delivered, and that IT is no longer just a service cost. This alignment has been achieved through active engagement from 3C ICT with the strategic leads in each authority, intelligent clients and service leads across the partnership. This common approach is now allowing the partners to derive maximum benefit from the service, in particular the benefits in flexible and effective working that derive from Council Anywhere are clearly noted in the feedback from services across all three councils.

The **Digital and ICT Strategy, ICT Roadmap** together with the **Service Catalogue** (currently being updated) are the primary documents outlining the strategic intent for the service and describe the current service offerings provided by the ICT Shared Service. These important documents are managed under the approval of the 3C Management Board, and will continue to evolve throughout the life of the ICT Shared Service.

The current service catalogue categorises in detail the services that 3C ICT deliver. This is achieved through a mixture of in house developed, managed systems, co-sourced and out-sourced service arrangements. Even though the list illustrates the breadth and depth of the services that are delivered, in its current form it is only really used as part of the service management process by ICT staff. As part of improvements and developments planned in the coming 12 months and following discussions with the Intelligent Clients, a more user-friendly version of the service catalogue is in the process of being developed. This will allow officers, staff and any user of 3C ICT services to be able to see services that that they are able to request to use and act as a starting point for request for service (be that access, change or development)

Appendix C contains the list of all live services.

In addition to delivering the “traditional” ICT service such as Service Desk and Applications Support, the portfolio of services includes less traditional “thought leadership” types of services, which are seen as essential for the three partner authorities to achieve their strategic goals. For example, “Digital First” delivery of front line council services is strategically vital in order to deliver the level of savings and customer satisfaction required of the councils.

The **Technology Roadmap** is the other important document describing service capability. It describes the planned changes / additions / modifications to service delivery as well as identifying the financial opportunities to leverage the economies of scale needed to fulfil the anticipated savings desired from the service. It includes the relative priorities of these changes (MoSCoW), together with a mapping of which of partner(s) wish these change(s). As with the service catalogue, this document is also managed under change control, and will continue to evolve throughout the life of the Shared Service.

Together, the Service Catalogue and Technology Roadmap provide a complete and comprehensive description of the services (current and planned) that will be provided by the 3C ICT Shared Service. The Team structure has been designed to deliver on this programme of work, an overview of the current service structure is provided in Section D

#### **Aims & Priorities**

The aims and priorities of the service are to provide the right ICT services at the right price point to enable the partner councils to achieve their goals and to be agile enough to respond to rapidly shifting priorities. Within the template of the service catalogue, each of the individual services will have a clear priority, service availability, service support details, KPIs and a service owner.

Regular reviews between the ICT Shared Service management team and the Intelligent clients of each of the partner councils have been instigated to monitor, report, further refine and improve the delivery of services offered by 3C ICT. This includes priorities of upcoming requests for development and project work generated from service areas, annual bid process and ad hoc requests. Over the past 6 months as noted in the introduction, focus of these meetings has shifted from just operational issues to the wider service development needs for each council and collectively across all three. We will continue to build and develop on these initiatives.

The agreed list of priority projects requests as of the end of Nov 2019 can be found in Appendix D.

All three councils approved the proposal to create the service, and 5 year plan, hence the ICT Shared Service and are expected to renew for a further 3 years in October 2019.

In addition to the work with the 3 Councils the 3C ICT Service will continue to support the Cambridgeshire and Peterborough Combined Authority for which a separate arrangement and SLA exists. Any further business opportunities to support external organisations will be shared with the strategic leads in each authority once an initial assessment of the request has been undertaken.

### **Benefits Realisation**

The largest financial savings are being achieved through the standardisation of the existing 3 environments. As line of business systems are standardised it is very likely that there will be additional service specific operational savings realised by each discrete partner service through the introduction of more efficient digital platforms. The operational savings will be realised and reported by the relevant service areas. 3C ICT will continue to support the Transformation teams in the delivery of their planned improvements and strategies and helping the services realise and be responsible to account for these benefits moving forward. This supports the fact that 3C ICT is an enabling service and not a cost centre.

## **C. FINANCIAL OVERVIEW**

The financial profile of the Business Plan was remodelled in 2018/19 to show a pragmatic stepped approach to savings recognising the (a) significant dependence on hired resources during the first year of the service and also (b) recognising the procurement practicalities of rationalising several key “line of business” systems across partners when there was at the time, little or no correlation of vendors.

The goal remains to deliver the service on fair usage model and as such the following approach to the apportionment of cost is outlined below:

- (1) **Staff Costs** – The contribution of the partners to the staff element of the budget is used to calculate the percentage of the service the partner should expect. The proportion of time committed to business as usual and project support will be reported through routine monthly service management reports. Recognising that business as usual involves a significant amount of updating and upgrading systems and services.
- (2) **Project Costs** – The contribution to new projects will be based on the utilisation of the live system. In essence, the cost of each shared project will be split amongst the number of expected users in the proposed system from each partner. Partners may have specific implementation requirements due to a variety of reasons. In such cases where there is no perceived benefit for the other partners this will be funded directly from the partner requesting any additional/enhanced features.
- (3) **Shared Costs** – Those projects resulting in the realisation of truly shared service systems will usually involve ongoing running/support costs. These running costs for shared systems will be based on the number of users from each partner.
- (4) **Legacy Costs** – These include systems/services and ongoing procurement commitments the partner is directly liable for. These costs will be charged directly back to the originating partner. This will serve to further incentivise partners to support and work with 3C ICT to develop opportunities to adopt a shared approach. This in turn will help the service unlock and realise the economies of scale by moving as many services as practical into the shared approach.
- (5) **Charges** – Partner invoicing based on the approach above will be charged on a quarterly basis including any overspend to avoid the hosting council carrying the liability of the other partners.

This approach prevents the subsidy of respective partners in the event of overspend, will continue to focus partners on supporting the Shared Service “Buy once and use three times” principle and provide fairness and transparency in relation to partner contributions.

The costs incurred by 3C ICT and the partners of using and purchasing systems will be influenced by

changes to operating models. The trend across industry is moving away from selling or licensing perpetual use of self-contained and stand-alone applications, with a support and maintenance package option. We can expect, hosted, “utility” operating models being the main offering from suppliers. We will find more frequently, it will be the only offering from some vendors or suppliers in the future. This means conventional capital funded projects will need to be changed to follow a revenue-based funding approach. 3C ICT will also need to consider how this shift could affect some of the teams. E.g. as we move to less fully hosted and supported directly onsite by internal teams, to more software as a service approach remits, structure and responsibilities will need to adapt accordingly. Other benefits include extended support and hours of working underpinned by new contracts with software vendors who provide hosted services. 3C ICT can present options to the board and stakeholders so that ICT operating model can align with what is needed from a business point of view. Any recommendations for changes will be reflected in the full business case rewrite for 2021 and presented to the Shared Services Board for consideration and approval.

The introduction of Council Anywhere this year has supported the adoption of various flexible working practices and changes in the work force. Consultation with board members, portfolio leads, stakeholders and senior managers across all 3 partners will take place in the coming year to assess and understand whether, as part of any changes to the 3 ICT operating model, that any changes in location and distribution of IT staff is required and how this may affect costs. This can also be influenced by the estates strategy for each of the partners. 3C ICT will continue to work closely with teams to monitor and support any future estates plans.

Definition: - Hosted systems / Software as a Service (SaaS) - where customers and users access centrally hosted software applications over the internet. E.g. Office365 hosted within the Microsoft Corporation infrastructure. All hardware and data is off site, but administration and management of the application can still be done locally by the user/customer. All lifecycle management and administration of hardware and infrastructure is carried out by the service provider.

### 3C ICT Revenue Budget for 2019/20

The 3C ICT Budget for 2019/20 was updated to reflect some changes made within the 2018/19 Financial Year, this includes changes to the structure of the service. These changes continue into 2020/21. Only the HDC contribution for the Digital team funding is included within these costs.

Budget category	Year 4 2019/20	Year 5 2020/21	Year 6 2021/22	Year 7 2022/23
Baseline Staff	£3,481,047	£3,550,668	£3,621,681	£3,681,498
Baseline Other	£3,951,795	£4,022,411	£4,101,759	£4,182,695
<b>Baseline Total ICT</b>	<b>£7,432,842</b>	<b>£7,573,079</b>	<b>£7,723,440</b>	<b>£7,864,193</b>
Budgetary Staff Costs	£3,019,288	£3,080,554	£3,143,045	£3,206,786
Budgetary Other Costs	£3,420,959	£3,371,419	£3,438,847	£3,507,626
<b>Budget</b>	<b>£6,440,247</b>	<b>£6,451,972</b>	<b>£6,581,892</b>	<b>£6,714,411</b>
<b>Forecast Staff Savings vs baseline</b>	£461,759	£470,114	£478,636	£474,712
<b>Forecast Other Savings vs baseline</b>	£530,836	£650,992	£662,912	£675,069
<b>Total Savings vs baseline</b>	£992,595	£1,121,106	£1,141,549	£1,149,782
<b>Savings Percentage vs Baseline</b>	<b>13%</b>	<b>15%</b>	<b>15%</b>	<b>15%</b>

### Cost of 3C ICT Shared Service by Partner

ICT Shared Service per partner	Year 4 2019/20	Year 5 2020/21	Year 6 2021/22	Year 7 2022/23
Cambridge City Council	£2,987,772	£2,991,556	£3,052,222	£3,046,606
Huntingdonshire DC	£2,081,813	£2,084,951	£2,127,233	£2,130,981
South Cambridgeshire DC	£1,370,663	£1,375,465	£1,402,437	£1,404,304
<b>Grand Totals</b>	<b>£6,508,725</b>	<b>£6,489,619</b>	<b>£6,512,972</b>	<b>£6,644,111</b>

Figures show above based on the original proportional contribution. Actual charge backs to the partners will be based on actuals As detailed previously, the avoidance of the sharing approach for actuals avoids any potential cross-subsidy issues.

### Savings from 3C ICT Shared Service by Partner

The following table details the estimated split of savings per partner.

ICT Shared Service savings per partner	Year 4 2019/20	Year 5 2020/21	Year 6 2021/22	Year 7 2022/23
Cambridge City Council	£460,663	£523,047	£532,673	£597,370
Huntingdonshire District Council	£320,874	£362,589	£362,589	£415,440
South Cambridgeshire DC	£211,058	£235,471	£239,617	£269,492
<b>Grand Totals</b>	<b>£992,595</b>	<b>£1,121,106</b>	<b>£1,141,549</b>	<b>£1,282,302</b>
<b>Cumulative Total Saving</b>	<b>£2,065,878</b>	<b>£3,186,984</b>	<b>£4,328,533</b>	<b>£5,610,835</b>

<sup>1</sup>Savings from previous years excluded from this business base but shown cumulatively above in the forecast.

These figures do not include capital projects that are underway which will deliver further efficiencies and opportunities for savings in the future.

## TOTAL SUMMARY OF 3C ICT FORECAST OUTTURN AUGUST 2019/20

	19/20 BUDGET	19/20 FORECAST	19/20 VARIANCE AGAINST BASLINE BUDGET	19/20 AUTHORISED OVERSPEND **	19/20 VARIANCE INC AUTHORISED OVERSPEND
CITY	2,994,586	3,017,380	22,794	50,000	(27,206)
HDC	2,126,223	2,094,613	(31,610)	50,000	(81,610) *
SCDC	1,379,986	1,419,187	39,202	50,000	(10,798)
	<b>6,500,795</b>	<b>6,531,180</b>	<b>30,385</b>	<b>150,000</b>	<b>(119,615)</b>

\* HDC overspend funded from carry forward from previous year

\*\* £150k overspend in 19/20 was agreed by Shared Service directors in March 2019 to support the delivery of Council Anywhere. If the overspend continues this will affect the end of year position as shown in the final column.

**Please note that these are estimate figures and will change by the end of the year**

**Overall savings for the shared service in 2019/20 are 13% compared to the baseline budget and will be 15% in 2020/21**

To better reflect fairness between contributions the distinction is made between what comprises the service element of the Shared Service and the ongoing running costs of the partners. Any partner overspend against budget for legacy costs will be charged directly back to the originating council based on actuals to ensure that the integrity of the original baseline can be accurately monitored (in essence anything not transferred as part of the original budget will be charged back direct to the partners).

The savings represented within the tables above are based on planned changes to rationalise existing partner support arrangements and leverage the benefits of scale across the three partners. Benefits realisation from activities detailed within the **Roadmap** and **Digital & ICT Strategy** will be evaluated separately.

It should be noted that there is an industry driven move to subscription based services which makes it easier to apportion costs (as this services are priced per user) but does have an ongoing impact on revenue budgets for each council as it will become increasingly difficult to capitalise some of the expenditure on IT systems. Paying third parties on a price per user basis does provide flexibility for the partners should there be a need to make significant changes in staff numbers as the contracts and payments can be scaled up and down as needed. If this flexibility is required of the Shared Service this will need to be incorporated in any updated or recast business plan. Discussions on this are planned.

### Approach to Funding CCC/SCDC Digital Programmes

To ensure that the financial business case detail is able to reflect the original baseline costs the business plan for ICT shared service 19/20 referenced funding requests that would be made to CCC & SCDC as part of the 2019/20 budget process. This additional funding will put the digital team on a sustainable footing in order to ensure it can support the transformational work being organised by the respective transformation programmes and prioritised by the 3C Digital Steering group, and to ensure the growing remit of the 3C Digital Team is adequately resourced. If these funding bids are approved, it is requested that these costs be incorporated fully into the business plan from financial year 2020/21

### Background

The current 3C ICT digital team remit for both Cambridge City and South Cambridgeshire District Councils is to provide a well run and developed content management system for their websites and to provide digital guidance and leadership. This contrasts with the remit for Hunts which, since the inception of 3C ICT, has always been to provide both web and digital services.

Over the past year the 3C Digital team has been asked to carry out back office system integrations in order to support Customer Portal and Yotta Streets and Waste projects for all councils. Further projects for Housing and Environmental Health are in progress and will attract further work requests. This bid is for funding to support these requests as well as to equal out the contribution made by each of the 3C partners so that they can continue to receive an equal share of the 3C Digital Teams resource.

The objectives of the funding requests are outlined below:

- Ensures that by April 2020 the 3c ICT Digital team is put on a sustainable footing to adequately resource at least 75% of the current demands placed upon it by the partnership.
- Ensures that by April 2020 the funding contribution to the 3C Digital team from City Council and SCDC is equal to that of HDC and reflects the equal share of resource apportioned to each partner by this team. This can be measured by comparing financial contributions.
- Ensures that by April 2021 3c ICT are able to incorporate these additional costs into the 3C ICT Business plan, ideally via reuse of funding released by partners through efficiencies so as to be cost neutral to the three partners. This will be a multi-year approach as outlined in the 3C ICT business plan and will be measured based on appropriate metrics within the 3C ICT business case.

The benefits of the funding requests are outlined below:

- Ensures 3C ICT Digital team have capacity to deliver integrations and digital development for City and SCDC to support better frontline service delivery to customers and also to support these integrations on an ongoing basis. For example, Yotta waste integration, mobile App development, Voice and Artificial intelligence development. These are all currently capabilities that 3C Digital have but don't have the capacity to deliver or support.
- Ensures capacity to deliver integration required for all partner customer portal projects. For example, integrations with new housing Management solution and Environmental Health applications.
- Ensures continued resource is available for continued development of the City council and SCDC Websites. Note that while the Digital team are funded to provide this development they have already been asked to work on other integrations for City and South Cambs councils compromising the website work.

The risks of the funding requests are outlined below:

<b>Risk description</b>	<b>Impact</b>	<b>Mitigation/Controls</b>
Demand for 3c Digital Services increases further over the coming year	Capacity of 3c Digital Team fails to meet demand.	3c Digital Steering group will need to continue to prioritise work with partners and may have to slow some corporate projects to match resource with demand.
Demand for 3c Digital services reduces	Developers not fully utilised	Demand for 3c Digital resource is growing exponentially so we do not feel this scenario is likely. Possible mitigation should this

3c ICT partnership is dissolved.

3C ICT digital team staff would be split between partners

arise would be to make staff redundant or reduce via natural wastage.

The team operate effectively as a single unit so splitting staff would have a negative impact on productivity but some limited progress would still be possible.

## Summary of Current and Proposed Digital Funding

	Year 4 2019/20	Year 5 2020/21
<b>Apportionment of Costs</b>		
Cambridge City Council <sup>1</sup>	115k	200k
Huntingdonshire District Council	200k	200k
South Cambridgeshire DC	54k	200k
<b>Grand Totals</b>	<b>369k</b>	<b>600k</b>

Financial contributions for further years to be agreed against deliverables.

### Key Financial Risks/Observations.

1. Some of the Roadmap activities could see operating costs increase where authorities currently don't have a system or made previous capital investment that may need to be identified again or use additional revenue contributions to fund systems in the future. As the projects are dependent on procurement and it has been assumed that there is no uplift against operational costs, all such projects will have a separate business case and justification which will include the impact on revenue budgets.
2. Regional staff salaries for key skills become difficult to recruit/replace resulting in significant overspend due to hired staff.
3. Exchange rate variances pose a genuine risk to the ICT budget forecast due to a large number of non-UK software suppliers.
4. There is currently no consistent way to reflect operational savings derived from ICT projects against the 3C ICT service. Currently this would just be seen as an operational ICT cost uplift even though there are clear benefits for the operational teams for doing so. Significant time and effort has gone into working with the Transformation and Change functions at the 3 Councils to better align success criteria, operational objectives and processes/ways of working to ensure that operational objectives are clear and 3C ICT projects deliver to these. However agreed and clear direction from the 3 Councils is still not consistently in existence, which jeopardises full benefits realisation.
5. Out of Hours (OOH) support arrangements are done on a best endeavour's basis for specific areas .e.g. car parking services. The arrangement carries with it a number of issues and gaps because it's not a formal arrangement, not consistent across partners, and even where it is in place, there are limited numbers of staff with the skills and knowledge available. There will be an increase in costs for a formal on-call rota as well as any costs associated with call outs if an option to formalise the arrangements is needed. As expectations and service demands from residents and users change, 3C SS may want to consider the position and add these costs to the baseline business case. This will need to be balanced against needs, priorities and affordability. Digital is increasingly becoming a critical service, and as yet hasn't scaled

up/out the support offering to cover the inevitable out of hours incidents. As Digital has evolved to become the primary method of interaction and communication with residents 24/7, options for extended support and the implications of these will be included in the next business case re-write.

## C. FINANCIAL OVERVIEW (ROADMAP: HIGH LEVEL CAPITAL INVESTMENT FORECAST)

The table below represents the existing investment profile based on the ICT Roadmap for major applications. All investment has undergone formal scrutiny through existing partner budgeting processes. All systems will be procured in line within ICT Strategy principles.

Council	Roadmap Activity	2020-21		2021-22		2022-23	
		CapEx	OpEx	CapEx	OpEx	CapEx	OpEx
CCC	Council Anywhere (Initial investment and rolling desktop upgrade)			£150k		£150k	
	Waste System		£38k		£38k		£38k
	Housing Management System						
	Shared Planning System						
	Environmental Health System						
	HR/Payroll system	£150k					
	Revs & Bens System						
HDC	Council Anywhere (Initial investment and rolling desktop upgrade)			£130k		£130k	
	Waste System		£33k		£33k		£33k
	Housing Management System						
	Shared Planning System						
	Environmental Health System						
	HR/Payroll system		£100k				
	Revs & Bens System						
SCDC	Council Anywhere (Initial investment and rolling desktop upgrade)			£89k		£89k	
	Waste System		£16k		£16k		£16k
	Housing Management System						
	Shared Planning System						
	Environmental Health System						
	HR/Payroll system			£115k	24k		
	Revs & Bens System						

### Assumptions:

Any capital costs for replacement systems have been through the budget decision making process at each Council. The costs in the table above are only indicative. Final costs would be dependent on procurement and the number of Councils implementing a shared system.

- There are also indicative costs for a new HR system included in the table – assuming all 3 councils move to a single system, discussions are underway between the three authorities and it is anticipated the new system would be in place during 2021/22
- It is anticipated that any efficiency savings needed due to an uplift of revenue budgets will be met by the relevant service.

### 3C ICT CAPITAL BIDS 2020/21

The table below is a summary of bids submitted by 3C ICT (July to Sept 2019) - At the time of writing, each of the partners are still part way through their capital budget processes and some of the bids may be moved to revenue depending on financial thresholds and final decisions from boards and members.

<b>Capital Bid</b>	<b>SCDC</b>	<b>CCC</b>	<b>HDC</b>	<b>Total</b>
WIFI Access Point replacement	£6,768	0	£11,700	£18,468
Call Management IT Service Desk	£2,820	£7,305	£4,875 *	£15,000
Cyber Security Monitoring	£3,760	£9,740	£6,500*	£20,000
Resource Planning Tool	£2,820	£7,305	£4,875 *	£15,000
Data Centre Growth Capacity	£13,160	£34,090	£22,750	£70,000
AV Equipment	0	0	£30,000	£30,000
Digital Team Funding	£146,000	£85,000	0	£231,000
Telephony (Core Telephony)	0**	£150,000	£150,000	£300,000
Power BI & Analytics	£3,760	£9,740	£6,500*	£20,000
PFH Generator (Supporting new server environment for 3C)	£15,980	£41,395	£27,625	£85,000
<b>TOTAL</b>	<b>£195,068</b>	<b>£344,575</b>	<b>£264,825</b>	<b>£804,468</b>

\*Originally submitted as Capital bids - Moved to Revenue

\*\* Note £150k allocated in 19/20

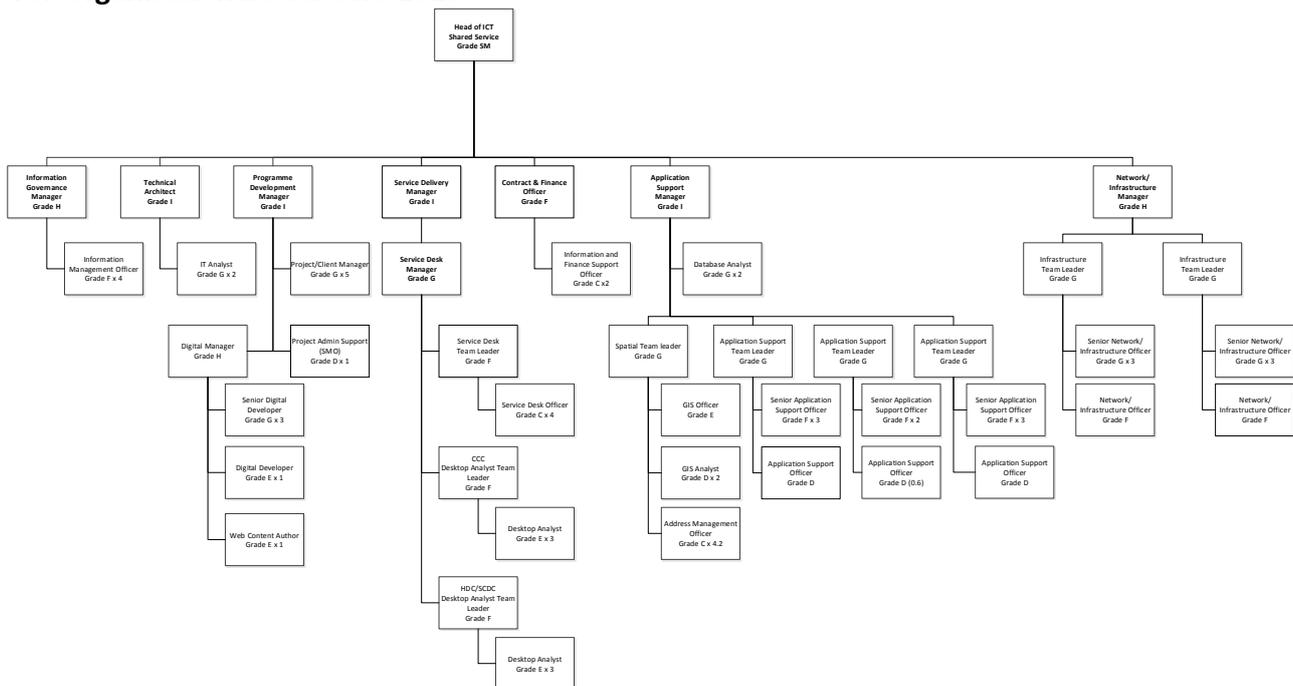
## D. STAFFING OVERVIEW

Huntingdonshire is the employing authority.

The staffing structure is shaped by the following Key Principles:

1. The structure has clear accountabilities for delivering the scope of work described in the ICT Shared Service Catalogue.
2. An ongoing drive to ensure the ICT Shared Service has sufficient knowledge and experience to provide thought leadership to the three councils as they seek to evolve their services to a “digital first” world.
3. No more than 7x direct reports for any role within the structure.
4. Minimize the number of management layers between the Head of Service and all roles within the ICT Shared Service.
5. Move towards stronger alignment with the ITIL management model.
6. Provide a single shared services structure, with roles spanning the needs of all clients (as opposed to silo teams serving each council).
7. Wherever possible to minimise the use of external contractors, recognizing that in certain situations buying in knowledge and skills will provide the best value for money.

### ICT Organisational Structure 2019



#### Changes to structure -

A new permanent Head of Service was recruited on the 1<sup>st</sup> March 2019, whilst this had been advertised as a permanent role the postholder is working part time in the role as part of a shared arrangement with CCC & PCC. As a result, the ICT structure was amended in 19/20 to include a full time Deputy Head of IT (Operations) role. This role was initially recruited on an interim basis but was filled as permanent role in Sept by Sagar Roy.

#### Interim arrangements -

During 2019/20 several secondments within the Service which had had been in place due to maternity leave cover were reviewed and are in the process of being replaced with permanent arrangements through standard recruitment processes.

### **Information Governance -**

In April 2019 the Information Governance Manager (DPO) resigned and in order to ensure that the DPO role for the partners was covered an interim DPO was recruited to provide cover while recruitment to the permanent role was undertaken. The permanent recruitment was not successful, likely in part due to the salary banding of the role and the complexity of delivery to three councils. A second recruitment campaign is planned and this area has been discussed with SIRO's Autumn 2019.

### **Network / Infrastructure -**

This team continue to manage a large and complex infrastructure and having the required level of resources in this team to manage both BAU and project work remains a challenge. Some temporary recruitment has been undertaken to provide back fill for the Eastnet/MLL project.

### **Digital Team -**

Due to a growing remit and high demand for Digital Services along with a commitment to funding from partners in order to provide website development 3C ICT digital team has grown considerably over the past 2 years yet still only meets around 50% of customer demand. If the bid to balance partner inputs is successful, then the team will grow further.

### **IT Service Desk -**

Attracting and retaining staff in this key area also remains a priority, both in terms of developing the required skills to deal with more enquiries at the first point of contact but also recognising that once people have expanded their knowledge, skills and experience they may also look to further their careers within the Councils or in the wider market. Process review work designed to improve the service delivered to officers and members has started and will continue throughout 2020 building on activity already completed that has assessed patterns of demand, areas of inefficiency and process gaps. Significant work has also been undertaken to track and reduce the number of walk-ins and encourage people to call or raise a request on Hornbill wherever possible. This enables the issue to be captured more effectively and also improves productivity within the team - we have seen and evidenced that attempts to bypass the service desk process adversely affects the time to resolve and dealing with priority jobs. However, there is still in excess of 100 calls raised a day on average and although steps are being taken to encourage self-service, on for example, resetting passwords, there is still some way to go to get this number down.

## **E. LOOKING BACK**

### **Achievements (2019/20 – as at Oct 2019)**

Updates on the main projects have been provided in 1:1 discussions with the strategic leads and/or intelligent clients in each authority. Written updates have been included in the quarterly reports, regular highlight reports have also been produced on the project work. The past year has also presented significant number of challenges to the service, particularly in moving towards a single desktop and transforming the way that people work. Some of the issues that occurred were known risks and steps were put in place to mitigate them. However, other issues and problems have emerged as projects have progressed. A pattern of missing and incorrect legacy system documentation has been seen some of which are for key application and infrastructure areas. Nonetheless, as the new Council Anywhere technology is rolled out, the Server Room Consolidation project completes, WAN migration progresses and applications are either upgraded

or replaced, these issues are being resolved and risks are being managed down.

Significant work is required to maintain and update the 222 applications and support over 2,000 users, hence this appears at the top of the list. Since the introduction of 3C ICT, the Applications support team have reviewed and assessed applications being used and supported joint projects with the aim to reduce and consolidate application numbers. Through bringing user groups together with similar applications, removing redundant software and cancelling unused software, by Q2 2019, the list of supported applications is now below 170 and targets for software costs efficiencies has been met. In addition to managing down costs and license fees, it also reduces the support overhead that would otherwise be incurred. There are also a high proportion of projects that involve all three councils. This list (Appendix D) is regularly reviewed with the strategic leads and intelligent clients, as it forms the core work programme. This list is entirely in line with the previous Business Plan, and the IT roadmap and strategy, with those projects nearest the top contributing most significantly to reliable business as usual.

The much-anticipated Council Anywhere project roll out started in earnest during 2019. As the first groups of devices were delivered, the supporting processes and procedures were still being refined as something on this scale and across 3 partners was new to all those involved. As roll outs continued over the next couple of months, further improvements were implemented. This has been a successful exercise as evidenced by the fact that during the early phases it was taking just over a week to roll out 100 new devices. However, as of October, the quality and pace of delivery has improved markedly and the recent City Housing phase, saw just over 100 new devices rolled out in approximately 1 ½ days with extremely positive feedback being received almost immediately.

The Server Room Consolidation (SRC) project was formally closed November 2019. This is considered as one of the flagship projects for the original 3C business case because it was designed to address fundamental gaps in the original separate infrastructures for each council and deliver improvements and efficiencies that individually would have been extremely difficult to achieve. As servers have been migrated into the new environment all 3 councils have benefited from reduced server replacement costs, improved server availability, improved cyber security risk mitigation and improved monitoring and support. This also provides a strong technical foundation on which to build, expand and deliver services in the future in shorter timescales with greater flexibility to scale up or down as demands shift.

The IT Service desk which is by far the most common point of contact for the 3 partners continues to evolve. As mentioned earlier in the report, improved monitoring and reporting is now in place that helps us understand demands and patterns of use. We have seen peaks in demand during and immediately after major incidents such as the 2018 power outage at City and SAN failure where up to 200 calls a day were being logged, compared to normal demand which is 100 to 120 calls per day. The number of outstanding jobs logged has also seen improvements over the past 6 months. A peak of 1000+ at the beginning of the year was managed down to approximately 740 at the beginning of September. In the last few months, 15% reduction in outstanding jobs has been achieved. Further improvements are expected as skills within team's improve, processes are refined and projects complete delivery. This means in the future we can free up capacity to broaden the remit of what the IT Service desk and other ICT support teams can deliver. Less faults and incidents / faster resolution also means the workforce can be more productive and make more use of the technology that is being provided.

**A few specific items that warrant further commentary are as follows:-**

**EastNet as of Oct 2019.**

CPSN Replacement – This major project involves all the Council's in the area who have their internet, network and WiFi provided by Virgin Media. 3C ICT have been part of a joint procurement led by Cambridgeshire County Council to replace this service contract which comes to an end in Dec 2019. The winning supplier was MLL which will provide access to all the Public Service Network sites with the EastNet network once the transition has been completed. When agreement in principle across the three authorities to proceed with MLL was achieved in January 2019, internally a new project was established to deliver the migration before the contract end date.

Due to risks we face as part of the exit from the VMB contract this has been a substantial piece of work involving many resources around the organisation, not just ICT. Following agreement reached with the CPSN partners and VMB, we have a period of dual running to avoid any gaps in service. The services being replaced include WiFi, network security, site connections and internet connectivity and as of Oct 2019 a fast track programme of work has been agreed by the 3C board to deliver the migration of 40+ sites within 3 months in order to minimise any dual running costs and start to deliver the benefits of the new network service – improved performance, reliability and capacity.

**IT Roadmap**

3C ICT have worked with the Waste and Open Spaces teams to implement the Yotta system, this work will continue into 2020 with more services coming online in a phased manner. This modern system integrates with the Digital Platform allowing services to be delivered to the customer easily and with real time information underpinning the online forms. Shared Waste are already benefitting from the new setup and work continues on the roll out for the Open Spaces services to enable Officers to complete more of their day to day work in the field. Budget is already in place or working through the budget process at all 3 Councils.

**Enhancements to consolidated Web Publishing Platforms**

Following on from the successful work undertaken by the Digital team to consolidate all three council websites onto a single platform, development of these platforms has continued throughout the year with over 200 separate enhancements being delivered to partners.

**Digital Portal**

Partner councils launched their digital portals in early 2019. Each partner has their own project and project board within their own organisation and work has continued during 2019/20 to integrate the portals and forms with back office systems such as Yotta Alloy and to prepare for integration with the new housing and environmental health systems. A number of new forms and integrated workflows have been developed by the 3C Digital content team for HDC which have delivered efficiencies for the Revenues and Benefits and Active lifestyles teams. This work continues both from a project and BAU perspective.

**Process improvement**

The Deputy Head of IT has worked with teams within IT to review several key processes, including those around Major Incidents (MI's), Priority 1 incidents. In particular weekly operational reviews are now held to ensure that any lessons learnt from such incidents are captured and actioned.

## F. LOOKING FORWARD

A number of discrete projects are either in flight or will be completed by the end of the financial year. The current priorities for 3C have been agreed by the Intelligent Clients of the three Councils as at October 2019 and can be found in Appendix D.

### **Short to medium term:**

**Digital team** – Short term work for this team includes; the integration of Yotta Allow into the Digital platform to deliver end to end digital processes for Operations services and the exploration of innovative service enhancements to support the CRM replacement at HDC (Voice/chatbot integration etc). Work will also continue on development of the councils' web publishing platform with a key upgrade due in late 2020 to the latest core version of Umbraco CMS and integration into AD for security management improvements.

With the **Technology Roadmap** established 3C continue to engage with Partners to identify and review 3-way opportunities to rationalise the application environment, with a view to the potential for unlocking further cost savings. In addition, the development of an applications lifecycle and risk matrix is nearing completion. This supplements the technology roadmap by allowing dependencies between applications and underpinning technology to be understood. Any opportunities to rationalise and consolidate applications can then also be considered.

The joint Housing project between City and SCDC is in phase one of its system delivery. By mid October 2019, the first of the two councils will be going live, with the second of the councils expected to follow suit in very early 2020.

The Environmental Health Teams will also benefit from replacing their old systems with modern mobile enabled services that will integrate with the Digital Platform. The current systems require a lot of manual rekeying of data, and administration to enable cases to be logged and kept up to date. A new system would automate many of these functions and allow Officers and customers via online forms to view and update their cases. This project will procure and implement a new system for all 3 Partner Authorities.

Some technology changes do not line up in such a way that they can be done as a single project. For example, SCDC have a pressing need for a replacement Telephony solution while the other two councils have different timelines for their replacements. For these projects the first implementation (for telephony SCDC) will create a platform that can then be reutilised by the other two councils and overall ensure a single well-designed supportable set of technology solutions.

Work continues to look at the strategic alignment of some of the services that were transferred across to 3C ICT at creation. Some of these were transferred due to them being done within the IT structure, rather than being specifically ICT tasks. An example is Street Naming and Numbering which we believe fits better within the Building Control Service and we are working with colleagues in that service on a paper to propose the service is transferred. In other instances (e.g HR reporting) we are engaging with the 3 Councils to discuss the transfer back of any tasks, and associated budget, where the benefit of the task sitting in 3C ICT is not clear.

The Service Desk is the 'front-door' to IT and the work has been detailed above that concerns the improvements that we need to make to that service. Equally, processes within the partner councils also need to be optimised to ensure that the working relationship and expectations between the partners and the Shared Service is positive and effective. The role of the Intelligent client within the partner councils is absolutely key to this and it is acknowledged that systems and ways of working (including transformation) across all three partners are changing. This organisational changes, makes this an opportune time to revise and improve the way in which the Intelligent Client role is delivered and the impact it has in each of the respective councils and the Shared Service expects to work with and support partners to help them redefine this.

As detailed in Section 1C, proposals have been submitted to balance partner contributions to the Digital team plans and approval is sought to incorporate this funding into the overall 3C ICT Business case. If approved, it is anticipated that this work will be completed by March 2020.

**Medium term: -**

As referenced in the introduction discussions are planned around what is required from 3C ICT and it anticipated that the output of those will form part of the medium term workplan for the Shared Service.

Both the industry trend and strategic direction of 3C ICT is for systems to be cloud hosted (where technically and financially appropriate). Where this is already in place it has been noted that the requirements of the Shared Service change quite profoundly. Whereas traditional hosting requires 3C ICT staff to be knowledgeable in and responsible for all elements of hosting, cloud hosting requires 3C ICT to have a broader view of how that system integrates with other systems and service and this requires a change in support model, in particular for the Application Support Team. These support models will be reviewed to ensure that the expectations of support needed from the shared service are clear, achievable and measurable.

As well as reviewing support models and in order to ensure that we train staff (and Members) across the three councils to ensure we all get the best value from IT (ranging from Audio Visual equipment, telephony replacements, and into major applications), 3C ICT will review with the partners what their current and future needs are from IT training. This will also include a review of the training needs of IT staff.

**Risks & threats:**

Infrastructure Risk Assessments are being completed for each council and the outputs of these will be compiled into Risk Registers (Appendix A). Alongside the applications lifecycle and risk matrix (Appendix B) these present a full and rounded view of technology risk for each council.

The following table describes key risks for the service, and associated mitigation actions:

Risk Description	Risk Mitigations
The Shared Service is not able to adequately protect the partner ICT environment from Cyber Crime threats and maintain PSN compliance.	An extensive programme of external audit activities has been established to review the Service's approach to the management of these critical areas of ICT operations. This programme also includes the ongoing compliance plan for PSN compliance. Audit activities focus on procedural, organisational and operational approaches to ICT security. The service has already deployed a significant number of counter measures to combat the overall threat posed by security. A budget bid to enhance security provision and detection has been submitted as part of the 2019/20 budget cycle.

Shared Service benefits are not adequately captured nor regularly checked and monitored leading to inaccurate reporting and potentially lack of support (including financial)	Business cases have been developed and presented to each council's committee cycle for consideration and approval. Benefits have been identified and quantified wherever possible and quarterly performance reporting agreed.
Service standards are set at different levels across the three Councils, leading to customer and Member complaints about differing service levels from a shared service.	Active governance arrangements exist to ensure that service standards can be appropriately developed and approved. To support standardisation where this is appropriate but allow for local variation where this is required, costing model to reflect cost implications of different service delivery. A single Service Catalogue will be reviewed by the partners on a frequent basis.
Overall financial savings targets are unrealistic and unachievable, leading to service 'cuts' being required elsewhere to meet the shared service saving shortfalls.	Savings targets to be regularly reviewed as part of performance monitoring and evaluated as part of the development and delivery of the Shared service business case Business cases to include robust financial analysis and risk / sensitivity analysis for projected savings
Until live testing is completed, it's not possible to confirm that the new shared ICT infrastructure fully meets the design requirements for availability and resilience for all three partners.	BCP and DR testing has been agreed (by the Server Room Consolidation Board) to commence Q1 20/21. 3C ICT to work with each council to prepare plans and test systems once the EastNet migration has been completed.
Shared Services do not deliver the expected good quality services to internal and external customers	Agreed service standards to be developed and approved. These will support standardisation where this is appropriate but allow for local variation where this is required, costing model to reflect cost implications of different service delivery
Current budget model doesn't yet align with the industry trend to subscription based services/software. Industry is moving much faster now which results in changes to licensing and contracts. The 3 councils will need to keep up with/match these 'pivots'	Revenue budgets will need to accommodate a change in operating models i.e.. Capital spend moving to revenue spend. Next year's in depth review of the business case will take this in to account. In addition, changes and adjustments to the 3C ICT operating model. Will be incorporated. .e.g Team structures or numbers could change. As support services are scaled up or down. Cost for Basic offering + premium services.

## G. COMMUNICATION AND ENGAGEMENT

The ICT Shared Service uses a variety of methods for communication with their members, staff, customers and key stakeholders. <consider developing a comms plan for ICT>

The **3C ICT and Digital Strategy** sets out the intent and vision of the ICT Shared Service. This is shared and disseminated to all partners via the 3C Management Board. The document, as well as outlining short to longer term objectives, also outlines the principles to which partners engage with 3C ICT and each other to ensure that the service is able to meet the objectives of the original business case.

The **Service Catalogue** outlines the main functions delivered by the ICT Shared Service, including performance indicators, role responsibility for delivering the function and the main components to be delivered. SS to update - This document has been produced and is in use internally within the service and discussions have commenced to create a version that is focused around user needs

which will be distributed more widely.

The **Major System Technology Roadmap** is the forward plan of technological development of the ICT Shared Service, it outlines the timelines for moving to new or different technologies and details how Application rationalisation opportunities will be identified. This will be reviewed with partners, through engagement with Intelligent Clients and service leads.

The Project pipeline and prioritisation list is the forward plan and schedule of work for the ICT Shared Service. This plan captures the needs of services from across the Partner Authorities and sets out the timeline for the work to be completed; the roadmap is the responsibility of the ICT Head of Service who will lead on consultation with the partner Intelligent Clients in the first instance to ensure the programme of work is aligned with strategic partner objectives and council business plan priorities. Additional reporting as done through quarterly service reports for the Shared Services Board. New requests for support at a strategic level will be managed through the Project Management Office after discussion with the intelligent clients locally, service operations matters through the Service Desk. The intelligent clients are also the first point of contact if individuals have any concerns around delivery – for discussion with the Service Delivery Manager, which can then be escalated to the strategic leads to discuss with the Head or Deputy Head of 3C ICT if required. Delivery of major projects will be governed by Project Boards with representation from all relevant Councils and chaired by a Sponsor representative from the Councils. It is the Council's Board representatives who will ultimately make decisions, on the basis of the status of the project and their organisational objectives, on allocating resource, prioritisation and timescales that will govern delivery and quality, advised by the technical and project management team from 3C ICT.

3C ICT aspire to be the trusted advisor for the councils to support them and their staff to use and exploit existing technology to transform services and also to advise on how new and emerging technology can be used to the same end. To achieve this 3C ICT will have regular engagement with Members, Senior Officers and the Intelligent Clients in combination provides a clear 'ask' of the business to 3C ICT. This will form the basis for the development of future functionality and review of solutions.

**Member updates** – we are now in a position to provide portfolio leads and other interested members with regular performance updates as requested by each Council. This presents an update on current operational performance, and demonstrating accountability. Details of this can be discussed with Chief Executives.

**SECTION 2: OPERATIONAL PLAN 2019/20**

**SECTION 2A: BUSINESS PLAN PERFORMANCE INDICATORS**

This Section sets out the “Business as Usual” priorities and the activities that 3C Shared ICT Services will undertake to deliver value-adding services to customers.

	Priorities for the service	State where these priorities are outlined (i.e. Corporate plans, ICT strategy)	Actions that will deliver the priority	Outputs from the activity	Outcomes from the activity
1	Deliver high standard of system availability	ICT and Digital Strategy, Service Catalogue.	Develop a list of services provided with customer service standards  Develop the Technology roadmap to outline forward plan of work.	Service Catalogue. Technology Roadmap.	Services across the Partner Authorities understand and have confidence in the functions being delivered  Builds trust in the ICT Shared Service to deliver their services and maintain high performing ICT, thus allowing the Partner Authorities to focus on their own customers.
2	Support and develop our IT systems	ICT and Digital Strategy	Build a technology roadmap. Examine business processes and enable automation wherever possible. Proactive management of vendors/contracts.	Have a clear understanding of the technological direction for the future. Clearer simpler processes that involve less human interaction and that can be replicated elsewhere. A single set of invoices and contracts to administer.	The Partner Authorities are confident that we are getting value for money from the ICT investment

3	Open the door for others to follow	ICT and Digital Strategy	Support the work of the following Shared Services, Building Control, Legal, Waste, Planning and Finance. Council Anywhere Business Case and Project.	Standard applications.  Ability to access, use or administer systems centrally  Enable the services to change	These shared services deliver a more efficient function and better value for money.
4	Allow people to work flexibly	ICT and Digital Strategy	Council Anywhere Business Case and Project.	Flexible Working Home working Remote Working Office Space Rationalisation.	Allow flexible working, staff are able to have a better work life balance with home or remote working. Better use of accommodation as staff are able to utilise different buildings or venues in a more flexible manner

## SECTION 2B: SERVICE KEY PERFORMANCE INDICATORS

KPI	Performance Measures <i>(provide a list only - target information is included in section 4)</i>	Dependencies <i>(ICT, Finance, Human Resources, accommodation etc.)</i>	Key risks to delivery <i>(include how these will be mitigated)</i>
KPI-1	Customer Satisfaction	ICT	Three logical environments are still in place across the shared services plus the work to support the Combined Authority. Although there has been some alignment of systems within 3Cs this still presents a challenge to providing an effective service, this coupled with some further reductions in staff during 2019/20 which may place the service under stress. Plans to standardise the support environment are in place to create capacity within the service and reduce the duplication of effort. Managing the demand is also a key risk for which support from the intelligent clients and strategic leads is vital.
KPI-2	Service Availability	ICT	
KPI-3	Incident Performance	ICT	
KPI-4	Service Desk Response	ICT	
KPI-5	Service/Work Order Request Performance	ICT	
KPI-6	Project Delivery Performance	ICT	
KPI-7	Staff Budget Savings	ICT, Finance	HDC salaries are still not competitive in some areas for key ICT skilled staff, especially considering the external market for this skillset. Mitigated via the recent restructuring to provide competitive salary and career progression, apprenticeships and also opportunities to work across the wider area.
KPI-8	Software and Services Savings	ICT, Partners, Finance	Partners do not engage fully with Roadmap objectives adopting to retain legacy systems in favour of non-rationalisation. Mitigated through sign off against principles within the 3C ICT and Digital Strategy.

### SECTION 3: KEY PERFORMANCE INDICATORS (KPIs)

#### Organisational, Service and Corporate Plan Performance Indicators

The table below should list organisational performance indicators (KPIs) applying to the service, key PIs from the action plan in section 2A and any PIs from partners' Corporate Plans that this Service is responsible for reporting against.

The follow table details the planned measures, reporting frequency for each measure and the business plan target for next year. Each measure is detailed in the 3C ICT Service Catalogue. Measures reported quarterly will be provided to the 3C ICT Management Board in line with routine reporting and service governance.

KPI Reference and Description		Reporting frequency	2019/20 Target	2020/21 Target
KPI-1	Customer Satisfaction (Partial) <sup>1</sup>	Quarterly	85%	85%
KPI-2	Service Availability	Quarterly	95%	95%
KPI-3a	Overall performance on the incident response for Priority 1,2,3,4 calls	Quarterly	85%	85%
KPI-3b	Overall performance on incident resolution for Priority 1,2,3,4 calls	Quarterly	70%	70%
KPI-4a	Overall Service Desk response for priority 1,2,3,4 calls	Quarterly	85%	85%
KPI-4b	Service Desk resolution for priority 1,2,3,4 calls	Quarterly	75%	75%
KPI-5a	Service/Work Order Request Performance on response	Quarterly	90%	90%
KPI-5b	Service/Work Order Request Performance on resolution	Quarterly	85%	85%
KPI-6	Project Delivery Performance	Quarterly	80%	80%
KPI-7	Staff Budget Savings	Annual	£50k	£50k <sup>2</sup>
KPI-8	Software and Services Savings	Annual	£108k	£108k <sup>2</sup>
	Customer Satisfaction (Full) <sup>1</sup>	Bi-Annual	80%	80%
	Deliver high standard of system availability	Quarterly	95%	95%
	Allow people to work flexibly	Quarterly	Business	Benefits

KPI Reference and Description	Reporting frequency	2019/20 Target	2020/21 Target
		Case	realisation <sup>i</sup>

<sup>1</sup> Customer satisfaction surveys will be conducted through service desk feedback on a quarterly basis, in full adopting a full questionnaire approach bi-annually.

<sup>2</sup> These savings are already built in to the business case (V7)

Extract of KPI performance as of end Q2 FY 19 to 20

This summary is based on the Information and Data presented to the Shared Services Board:-

#### **KPI-1 • Customer Satisfaction (Target 85%)**

The target of 85% has been exceeded this quarter and overall customer satisfaction has remained the same as last quarter (93%). However, it's been noted in several different areas that the impact of the Council Anywhere roll out is having an extremely positive impact on the recipients. Positive feedback has been received consistently. While not directly recorded as customer satisfaction, they are being collected by the project team for inclusion in the benefits study.

#### **KPI-2 • Service Availability (Target 95%)**

For Q2, the overall service availability achieved was 99.57% (combined across four key areas of ICT service provision). The breakdown of service interruptions or service affecting events for this reporting period is as follows:-

Network/Telephony	250 mins
Email	60 mins
Internet/web site services	70 mins
Centralised server infrastructure	180 mins

It should be noted that these durations are a mixture of service interruptions or where the service has degraded to an extent where it is affecting usability across multiple sites, high numbers of users or significant service areas.

For networking and telephony and email, there were 3 separate extended events that have had a disproportionate impact on the figures this quarter. In the main these were caused by 3rd parties / external service providers (Cambridge County Council for telephony to the HDC contact centre, and Virgin Media Business for Internet access, Enta.net for internet services impacting email to City). The breakdown is as follows:-

- Internet/website - 60mins due to 3rd party administration error affecting incoming internet email and traffic for CCC.

- Network/Telephony - 40mins due to fault at service provider affecting HDC CSC telephony.
- Network - 180mins due to 3rd party issue (VMB/CPSN) causing slow performance for all 3 partners access to internet services. Slow to the point of it being considered unusable.
- Network/Telephony – 30mins planned downtime for maintenance and infrastructure updates following recommendations from supplier.

The interruption to centralised server infrastructure was a single event that affected HDC at the end of the day on 03/09/2019. 30 mins was within the 'working day' up to 5pm, but for completeness the full period of down time is included in the availability figure. This was caused by a hardware fault on one of the servers at the HDC data centre.

#### **KPI-3 • IT Service Desk Resolution Incidents (Target 70%)**

The resolution of incidents at the IT Service desk has increased significantly since the last quarter, up from 77% to 86%. The change in performance have been linked directly to changes in staffing, a weekly 'day of action', management monitoring of call queues and addressing underlying root causes of problems that have been leading to repeat faults and calls.

The performance this quarter, which is being tracked weekly, is encouraging and the plan for the coming months is to maintain this level of improvement through addressing the resource, skills and knowledge gap at the IT Service desk and other teams dealing with the more complex faults and requests. Walk-in's at SCDC where the local ICT team are based has recently increased and is having a negative impact on completing planned work and service requests. ICT are working with the Intelligent client and portfolio holder to explore alternative methods of providing direct access to engineers whilst not overly impacting customer expectation and personal interaction Trials may be able to be put in place during Q3.

#### **KPI-4 • 3C ICT Resolution Incidents (Target 75%)**

By the end of the quarter, the performance across the rest of the ICT team for resolution of incidents shows a similar story to that of the IT Service desk. There has been further improvement since the last quarter, up from 89% to 93%. It's interesting to note that weekly monitoring over the period showed that during the height of the summer, performance actually dropped during the 2 weeks at the end of Aug. This has been attributed to a combination of annual leave, sickness absence and unplanned project demands within ICT. However, concerted effort in dealing with backlogs, prioritisation, addressing root causes of problems and the impact of the council anywhere roll out has seen the overall position not only fully recovered, but also an improvement. Similar to the IT Service desk, steps are being put in place to maintain this performance, however, a change in the pressures from the MLL/EastNet project timetable could see the resources from the Network and infrastructure team diverted.

#### **KPI-5 • Service Requests Resolution (Target 85%)**

Following on from recruitment and back fill of staff, the service requests performance for changes associated with starters-moves-leavers has improved. Up from 84% to 93%. The improvement seen so far was not easy to achieve or straightforward due to the mixed estate spanning Council Anywhere and non-council anywhere devices. This makes for a complex environment to support and administer. However, the additional resources who have been brought in are continuing to improve their skills and proficiency, so we are hoping there's room for further improvement.

**KPI-6 • Project Delivery (Target 80%)**

A relatively low number of new requests for projects have been submitted over Q2 (7 in total), however, the current status of in-flight projects is shown below

Project Name	Project No.	Key Milestones	Risks & Issues	Delivery date (ICT elements)	Financial	Comments
Housing System Review	P0026			28 <sup>th</sup> Feb 2020		Mobile solution still within development and being agreed. . Risks re resource clash with EastNet project being managed.
PSN	P0030			Closed		Closure report sent to the board at the end of October 2019.
Consolidated Server Room	P0035			Closed		Project closure approved by project board Nov 2019. Residual tasks low risk have been transferred to BAU.
Council Anywhere	P0050			Mar 31 <sup>st</sup> 2020		As of end of the Oct, just over 70% through the planned device roll out.
PCIDSS	P0072			31 <sup>st</sup> May 2020		Discussions taking place with IC's on accelerating activity for CCC and SCDC
Environmental Health System Procurement	P0077			Oct 1 <sup>st</sup> 2020		Supplier asking for changes to contract, but Crown Commercial Services are being engaged to verify legality. Waiting for response from supplier. Project likely to slip by 2-3 months. Project board is aware of current situation.
Shared Planning	P0058			6 <sup>th</sup> Mar 2020		Shared Planning service programme board have agreed change control document recently.
Waste Services Implementation (SOSP) Phase 2	P0075			5 <sup>th</sup> Dec 2020		Issues with Mobile App have arisen. New release is now having to be tested. Risk identified around acceptance of solution currently being discussed at programme level.
Waste Services Implementation Phase 5	P0075			2 <sup>nd</sup> Dec 2020		Due to go live with Domestic waste – all on track. Next stage to be planned which will be trade waste.
Aruba Clear Pass	P0082			Mar 31 <sup>st</sup> 2020		Progress will be linked to MLL site migration plans.

(Council Anywhere)						
AV Requirement Guildhall	P0047			Dec 13 <sup>th</sup> 2019		Tender process closed and contract awarded. Approval from planning re listed building conditions and work proceeding. 26 <sup>th</sup> Nov.
Eastnet MLL Migration	P0025			Mar 31 <sup>st</sup> 2020		Several sites, Wifi and Firewall migrated. Cease list agreed with project board
Windows Server 2008 Migration	P0084			Feb 28 <sup>th</sup> 2020		With agreement from the Board, dates have been extended by using alternative mitigations and taking the urgency away.

## Appendices

### Appendix A – infrastructure Risk Registers

Probability Status Unlikely Impact Status Low
Probability Status Possible Unlikely Impact Status Low/Medium
Probability Status Probable Unlikely Impact Status Medium
Probability Status Likely Unlikely Impact Status High

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Partner Council	Risk Category	Risk	Mitigation	Recommendation/Next Actions	Probability Status	Impact Status
CCC/HDC/SCDC (joint risk)	Azure/Cloud Hosted applications	Several systems for all 3 partner Councils now rely on Microsoft Azure or other cloud hosting platforms which are external to 3C ICT control e.g. Council websites for all 3 partners, Yotta (Shared Waste), Modern.gov, Public Access, SCDC/CCC Revs and Bens portal etc.	Microsoft Azure has multiple built in failover and contingency as you would expect from this service provider, so impact probability is low. However there have been two publicised outages over the last year lasting several hours.	3C ICT continue to recommend the use of MS Azure as this is an industry wide used platform supported by the biggest software vendor worldwide and has extremely high availability rates.		
CCC/HDC/SCDC (joint risk)	Intersite link Pathfinder House	The connections into both the data centre sites (PFH & Shire Hall) that	A full DR test in hours would prove if the	Next actions – This was discussed at Server room		

	<b>to Shire Hall</b>	would be used in the event of a failure are 1GB. Although these have undergone functional testing to ensure they work this was done out of hours to minimise impact. There is a risk these connections will not be sufficient for normal everyday traffic should they be required.	connectivity is sufficient or if larger links are required.	consolidation project board. The board approved work to develop testing/DR testing plan, which should then be run annually. This will also be tested/evaluated as part of the Shire Hall datacentre move.		
<b>CCC/HDC/SCDC (joint risk)</b>	<b>Monitoring</b>	Not all of the infrastructure in the new data centre is monitored by the central monitoring system (Solarwinds). An additional module will enable the entire environment to be monitored.	Additional modules are available and can be purchased.	Next actions – This was discussed at Server room consolidation project board. A budget bid has been submitted to allow for module to be purchased.		
<b>CCC/HDC/SCDC (joint risk)</b>	<b>Power supply protection (UPS &amp; Generators)</b>	Pathfinder House (PFH) – the data centre at PFH is supported by a UPS with an estimated runtime of 90 minutes, providing short term cover in the event of power cuts or power spikes. By their nature UPS systems can only provide a limited amount of power, the larger the UPS the more power available but with finite limits. If a longer period of cover is required then generators are required – these are then configured to kick in automatically to ensure that the UPS power is not drained and that power remains available to the systems as needed. There is no generator in PFH. This risk was raised at the server consolidation project board on 26 <sup>th</sup> April 2019 and	<ul style="list-style-type: none"> <li>• Install a generator at Pathfinder House</li> <li>• Add trend analysis to the 6 month maintenance check to confirm UPS load and run time</li> </ul>	Next actions – 3C ICT working with HDC FM to progress the installation of a generator on site at PFH (timescale to be confirmed) and to add trend analysis to the 6 month maintenance check to confirm UPS load and run time. A budget bid has been submitted to purchase a generator.		

		<p>the board have accepted the recommendation of 3C IT to purchase a generator for PFH.</p> <p>Shire Hall – the data centre at Shire Hall is supported by a UPS to provide short term cover in the event of power cuts or power spikes. This is linked to two generators configured to kick in automatically in the event of power cuts.</p> <p>The responsibility for the systems at PFH sits with 3C IT &amp; HDC Facilities Management.</p> <p>The responsibility for the systems at Shire Hall sits with Cambridgeshire County Council under a contract with 3C ICT.</p> <p>Recommendation: This risk was raised at the server consolidation project board on 26<sup>th</sup> April and the board have accepted the recommendation of 3C IT to purchase a generator for PFH.</p>				
<b>CCC/HDC/SCDC (joint risk)</b>	<b>Witness Host</b>	<p>A Witness Host server is required to monitor connectivity to the Pathfinder House and Shire Hall datacentres. Its purpose is to detect a failure at either site and initiate migration of server hosts to the remaining live datacentre and redirect network traffic accordingly.</p>	<p>This server is itself clustered and can be considered resilient in terms of hardware. However, it is still reliant on power and AC availability.</p>	<p>Recommendations: Tolerate the risk of having a single witness server which is IT industry accepted practice in all but high availability scenarios.</p> <p>Next actions – Council to</p>		

		Due to the function of this server it needs to remain at SCDC.		confirm if risks are to be tolerated.		
HDC	<b>(UPS &amp; Generators)</b>	At Eastfield House all network equipment is connected to a single bottom of the rack UPS providing approximately 30 mins standby power. The UPS is covered by support and maintenance contract. There is no backup generator at Eastfield House.	<ul style="list-style-type: none"> <li>• Install generator at Eastfield House.</li> <li>• Implement a secondary backup UPS system</li> </ul>	Next actions – HDC Facilities to conduct review and provide recommendations.		
HDC	<b>Air conditioning</b>	Server rooms must be kept to an even temperature and humidity to ensure that the IT equipment does not overheat and shutdown. The server room at Eastfield House contains units to provide this cooling. They will still be required to protect the remain servers along with core and edge network hardware which will continue to be hosted there. The units are routinely checked and serviced every 6 months under the responsibility of the HDC site facilities team.  To prevent heat damage to equipment that has UPS protection during a power cut, all cooling	Ensure that cooling solutions are available on an N+1 basis Ensure that cooling systems are also covered by UPS protection so that there is no heat damage to hardware in a power cut. Install environmental monitoring systems with the ability to integrate in to a VESDA capable system (see fire suppression for more information)	Next actions – HDC Facilities to conduct review and provide recommendations.		

		<p>should also receive UPS protection as well.</p> <p>The scope of the server room consolidation project does not include any changes to these facilities, and they are reliable as long as they are receiving power.</p>				
<b>HDC</b>	<b>Firewalls</b>	<p>The hardware to host firewalls for Eastfield House is local to the site and cannot be migrated to the new data centre as it has to be located there in order to secure the network at its perimeters. It is supported by the room-based UPS.</p> <p>Following the recent layer 2 bridge work should this hardware fail then work would be accelerated to remove these firewalls which needed to remain in situ until the layer 2 bridge work was completed.</p>	In the event of a failure the work to remove the firewalls would be brought forward.	<p>Recommendations:</p> <p>Tolerate the risks.</p> <p>In the event of a failure the work to remove the firewalls would be brought forward.</p>		
<b>HDC</b>	<b>Network – Switches/Routers</b>	<p>This hardware, comprising of core switches, routers and edge switches for endpoint devices cannot be migrated to the Pathfinder House server room as they support local (site) access. The Core switches and routers at each site are supported by the room-based UPS which provides about 30 mins resiliency.</p>	<p>HDC use Alcatel switches which are all on support contracts. There are some hot spares for switches but only a single core which would be replaced under the support agreement. Not having a hot standby core switch</p>	<p>Recommendation:</p> <p>Tolerate the risk to temporary loss of network and review BCP arrangements so that responses (such as remote working plans) are agreed and understood.</p>		

		<p>Should an edge switch fail then parts of the network affected (such as rooms or floors in a building) would be down and staff would need to relocate to nearby offices or work remotely.</p> <p>The core switches and router are covered by warranty and replacement contracts in the event of failure and some of the edge switches that are less cost effective to keep supported on contracts would be swapped out in the event of failure. If the core network or CPSN router is down then the whole site would need to invoke DR working arrangements.</p>	<p>would cause service outage until replacement was sourced, installed and configured.</p> <p>If a site is considered a key location or critical then money could be spent making the core network more resilient (perhaps standby core hardware) and getting a backup link to CPSN (either new fibre link or a line-of-sight beaming solution). Indicative costs for a standby link are an additional £5k per year with line of sight solution costing approximately £10k to install but no ongoing costs. Standby network infrastructure costs vary but core Cisco modules (e.g. 65xx) can be around £60k and edge switches (e.g. Cisco 2960X) left unconfigured on standby for quick deployment could be £2k each.</p>			
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<p><b>HDC</b></p>	<p><b>Telephony</b></p>	<p>HDC telephony is provided by an Alcatel Lucent Oxe platform. This system is maintained and fully supported by GCI Telecom (formerly Freedom)</p> <p>The on premise Alcatel Lucent Oxe relies on DHCP services to provide IP addresses and connectivity settings to the VOIP handsets. If the DHCP service is not available then the telephone handsets are unable to connect to the Alcatel Lucent and will not function.</p> <p>An additional external link exists to Speke House to provide connectivity to the County's telephony system and provide HDC with additional Contact Centre functionality for their in-house Contact Centre.</p> <p>With the deployment of Council Anywhere however the reliance on traditional desktop telephony will reduce over time. 3C ICT have a future telephony proposal for the next telephony phase based around Skype for Business and Microsoft Teams.</p> <p>The telephony system is out of scope for the server consolidation project.</p>		<p>Recommendations:</p> <ul style="list-style-type: none"> <li>• Review BCP arrangements to make sure that response times to failures are appropriate and expectations managed.</li> <li>• Publicly accessible numbers such as service helplines could be setup so that if the County's telephony fails and calls cannot be routed to the telephone where they need to be answered then they could be rerouted to an alternative option such as someone's mobile.</li> <li>• Expedite telephony replacement proposal</li> </ul> <p>Next actions – Council to Review BCP arrangements to make sure that response times to failures are appropriate and expectations managed.</p>		
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		<ul style="list-style-type: none"> <li>• they could be rerouted to an alternative option such as someone’s mobile.</li> <li>• Expedite telephony replacement proposal</li> </ul> <p>Next actions – Council to Review BCP arrangements to make sure that response times to failures are appropriate and expectations managed.</p>				
<b>HDC</b>	<b>Email</b>	A number of HDC mailboxes are currently stored onsite. Part of the Council Anywhere programme of improvements is to move all the email into the Office 365 cloud.		Tolerate the risks until the shared mailboxes are migrated into O365		
<b>SCDC</b>	<b>Resilient power</b>	Within the SCDC server room there is a room-based UPS unit that delivers power to all connected devices providing short term cover in the event of power cuts or power spikes. By their nature UPS systems can only provide a limited amount of power, the larger the UPS the more power available but with finite limits. If a longer period of cover is required, then generators are required – these are then configured to kick in automatically to ensure that the UPS power is not drained, and that power remains available to the systems as needed. There is no generator in SCDC. This is a legacy	<p>Install a secondary backup standalone UPS to extend power for up to 3 hours at both SCDC and Waterbeach Depo.</p> <p>Install generator at SCDC &amp; Waterbeach Depo</p>	<p>Recommendations: Implement a backup standalone UPS system at SCDC and provide UPS for Waterbeach Depo. This will require downtime on some systems to enable the reconfiguration of UPS and will also require a budget allocation to purchase support of the UPS systems.</p> <p>Next actions – Council to confirm if the risks are to be tolerated or if recommendations should be implemented.</p>		

		<p>issue.</p> <p>It is believed the room-based UPS is not covered by support and if replacements were needed this would be supplied by SCDC Facilities.</p> <p>The room-based UPS is site specific and therefore not in scope for the server room consolidation. It may still be required after the servers have all gone as core and edge switches can run on it. This is a single point of failure.</p> <p>At Waterbeach Depo all network equipment is connected to a bottom of the rack UPS providing approximately 30 mins standby power. There is no maintenance agreement in place to cover any failures which would be dealt with by purchasing replacement units as and when required by 3CS ICT. There is no backup generator at Waterbeach Depo</p>				
<b>SCDC</b>	<b>Air Conditioning</b>	<p>Server rooms must be kept to an even temperature and humidity to ensure that the IT equipment does not overheat and shutdown. The server room at SCDC contains units</p>	<p>Ensure that cooling solutions are available on an N+1 basis</p> <p>Ensure that cooling</p>	<p>Next actions – Council to either arrange for site facilities team to make the changes outlined above or initiate discussions with 3C</p>		

		<p>to provide this cooling. They may still be required after all systems have gone so that core and edge network hardware can be cooled. The two units installed are routinely checked and serviced every 6 months under the responsibility of the site facilities teams. However these units were installed in 2004 &amp; 2006 and are ageing and there have been recent issues with the air conditioning with a failure over the summer 2019.</p> <p>To prevent heat damage to equipment that has UPS protection during a power cut, all cooling should also receive UPS protection as well.</p> <p>The scope of the server room consolidation project does not include any changes to these facilities, and they are reliable as long as they are receiving power.</p> <p>At Waterbeach Depo there are no dedicated Air Conditioning Units to specifically protect ICT equipment. Instead reliance is placed on the building Air Conditioning to provide adequate cooling potentially leading to possibility of network loss.</p>	<p>systems are also covered by UPS protection so that there is no heat damage to hardware in a power cut.</p> <p>Install environmental monitoring systems with the ability to integrate in to a VESDA capable system (see fire suppression for more information)</p> <p>Consider providing AC units to protect network equipment at Waterbeach Depo</p>	<p>ICT to take over this responsibility.</p>		
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		Next actions – Council to either arrange for site facilities team to make the changes outlined above or initiate discussions with 3C ICT to take over this responsibility.				
<b>SCDC</b>	<b>Fire suppression</b>	<p>Fire suppression is required in order to protect equipment in server rooms in the event of fire. The current fire suppression in SCDC server room is FM200 and is gas suppression. It is tested and inspected routinely at 6 month intervals under the responsibility of the site facilities teams and is assumed to be fit for purpose.</p> <p>The scope of the server room consolidation project does not include any changes as they are part of the facilities and will continue to be required after services have been migrated to the new environment.</p> <p>There is no dedicated Fire Suppression equipment for ICT equipment at Waterbeach Depo. Additionally, there is no Fire Suppression system in place to cover the building as a whole.</p>		<p>Recommendation: Consider installing Fire Suppression system which is zoned and VESDA capable such that it continually samples the air for particulates so early warning is picked up from small amounts of smoke / burning components rather than fire/heat sensors being tripped.</p> <p>Next actions – SCDC Facilities to conduct review and provide recommendations. Separate consideration should be given to providing dedicated Fire Suppression to ICT equipment in Waterbeach Depo.</p>		
<b>SCDC</b>	<b>Firewalls</b>	The hardware to host firewalls is local to the site and cannot be migrated to the new data centre as	Alternative standby hardware could be purchased but this	Recommendations: Tolerate the risks as having a single firewall is IT industry		

		<p>it has to be located there in order to secure the network at its perimeters. It is supported by the room-based UPS. Should this hardware fail then connectivity between the SCDC/Waterbeach sites and the internet would be affected preventing access to key cloud hosted Council applications for staff and access to backend systems for members of the public. Any failure would involve DR being invoked with Virgin Media/MLL to repair or replace and affected applications would require their BCP to be invoked.</p> <p>The infrastructure is site specific and firewalls are part of the core services offered through CPSN and managed and maintained solely by Virgin Media. Management of firewall and internet access will be migrated to MLL and Eastnet later in the year.</p> <p>This system is out of scope for the server consolidation project.</p>	<p>would be disproportionately expensive and incur additional cost for the length of time it will be required. Hardware costs for firewall modules can vary but an indicative estimate is £20k</p>	<p>accepted practice in all but high availability scenarios. Review BCP arrangements to make sure emergency responses are agreed and understood.</p> <p>Next actions – Council to confirm if risks are to be tolerated and review BCP arrangements to make sure emergency responses are agreed and understood.</p> <p>Once the Server Room Consolidation Project is complete a follow on recommendation to design out the need to retain firewall at SCDC will be put forward.</p>		
<p><b>SCDC</b></p>	<p><b>Network Switches/Routers</b></p>	<p>This hardware, comprising of core switches, routers and edge switches for endpoint devices cannot be migrated to the new data centre as they support local (site) access. The Core switches and routers are</p>	<p>If a site is considered a key location or critical then money could be spent making the core network more resilient (perhaps standby core</p>	<p>Recommendation: Tolerate the risk to temporary loss of network and review BCP arrangements so that responses (such as remote working plans) are agreed and</p>		

		<p>supported by the room-based UPS which provides about 30 mins resiliency.</p> <p>Should an edge switch fail then parts of the network affected (such as rooms or floors in a building) would be down and staff would need to relocate to nearby offices or work remotely.</p> <p>The core switches and router are covered by warranty and replacement contracts in the event of failure and some of the edge switches that are less cost effective to keep supported on contracts would be swapped out in the event of failure. If the core network or CPSN router is down then the whole site would need to invoke DR working arrangements.</p>	<p>hardware) and getting a backup link to CPSN (either new fibre link or a line-of-sight beaming solution). Indicative costs for a standby link are an additional £5k per year with line of sight solution costing approximately £10k to install but no ongoing costs. Standby network infrastructure costs vary but core Cisco modules (e.g. 65xx) can be around £60k and edge switches (e.g. Cisco 2960X) left unconfigured on standby for quick deployment could be £2k each.</p>	<p>understood.</p> <p>Next actions – Council to confirm if risks are to be tolerated and to review BCP arrangements to make sure emergency responses are agreed and understood</p>		
<p><b>SCDC</b></p>	<p><b>Telephony</b></p>	<p>SCDC telephony is provided by a legacy Avaya CS1000 system linked to BT iCloud hosted platform. The Avaya CS1000 goes end of support in March 2020 and already there is only limited nationwide engineering support available from BT and limited spares availability</p> <p>The on premise Avaya CS1000 relies</p>		<p>Recommendations:</p> <ul style="list-style-type: none"> <li>• Review BCP arrangements to make sure that response times to failures are appropriate and expectations managed.</li> <li>• Publicly accessible numbers such as service helplines could be setup</li> </ul>		

		<p>on DHCP services to provide IP addresses and connectivity settings to the handsets. Additionally, the telephones connect to the BT iCloud telephony services. If the DHCP service is not available, then the telephone handsets are unable to connect to the BT iCloud and will not function.</p> <p>With the deployment of Council Anywhere however the reliance on traditional desktop telephony will reduce over time. 3C ICT have a future telephony proposal for the next telephony phase based around Skype for Business and Microsoft Teams.</p>		<p>so that if iCloud cannot route calls to the telephone where they need to be answered then they could be rerouted to an alternative option such as someone’s mobile.</p> <ul style="list-style-type: none"> <li>• Expedite telephony replacement project</li> </ul> <p>Next actions – Council to Review BCP arrangements to make sure that response times to failures are appropriate and expectations managed. SCDC Contact Centre manager to set up publicly accessible numbers such as service helplines so that if iCloud cannot route calls to the telephone where they need to be answered then they could be rerouted to an alternative option such as someone’s mobile. 3C ICT to progress the telephony replacement project</p>		
<b>SCDC</b>	<b>Email</b>	A number of SCDC mailboxes are currently stored onsite. Part of the Council Anywhere programme of improvements is to move all the email into the Office 365 cloud.		Tolerate the risks until the shared mailboxes are migrated into O365		

SCDC	SVS Application	This is a legacy Housing Maintenance system that provides surveyors with information on Council Housing properties. This application will be replaced/incorporated into the Orchard Housing Replacement		Recommendations: Tolerate the availability risks.		
SCDC	Mapping Application	This system is a key line of business system for the GIS Mapping service. This system will continue to be hosted at SCDC until it can be integrated into a combined system with Hunts District Council to save costs.	Review the local BCP arrangements to make sure that recovery times are agreed and understood.	Recommendation: Tolerate the risk and review local BCP arrangements to make sure that recovery times are agreed and understood.  Next actions – Council to confirm if the risks are to be tolerated until the new Shared Planning system is in place.		
CCC	(UPS & Generators)	Within the Mandela House & Guild Hall server rooms there is a combination of different UPS systems providing short term cover in the event of power cuts or power spikes. By their nature UPS systems can only provide a limited amount of power, the larger the UPS the more power available but with finite limits. If a longer period of cover is required then generators are required – these are then configured to kick in automatically to ensure that the UPS power is not drained and that power remains available to the systems as	Install a generator at Mandela and Guildhall.  Move everything onto dual UPS support. Review support contracts for all UPS hardware to make sure they have appropriate cover.	Recommendations: Implement dual UPS support for all servers and get all UPS under maintenance and support. This will require downtime on some systems to enable the reconfiguration of UPS and will also require a budget allocation to purchase support of the UPS systems, Costs have been provided for this work		

		<p>needed. There is no generator in Mandela House. This is a legacy issue.</p> <p>The majority of the UPS are what is known as 'bottom of the rack' UPS and these only provide cover for systems in that specific rack. There is also a larger UPS in Mandela House which <u>can</u> provide more general support for systems in that server room – this was installed by Northgate specifically to provide support to the Telephony system and was not configured or set up to support the other systems in the room.</p> <p>The bottom of the rack UPS are not covered by support and if replacements are needed these will be on a case-by-case basis.</p> <p>The UPS is site specific and therefore not in scope for the server room consolidation. It may still be required after the servers have all gone as core and edge switches can run on it</p>				
<p><b>CCC</b></p>	<p><b>Air conditioning</b></p>	<p>Server rooms must be kept to an even temperature and humidity to ensure that the IT equipment does not overheat and shutdown. The server rooms at Mandela House and Guildhall contain units to provide this cooling. They may still be required after all systems have gone so that</p>	<p>Ensure that cooling solutions are available on an N+1 basis</p> <p>Ensure that cooling systems are also covered by UPS protection so that there is no heat damage</p>	<p>Next actions – Council to either arrange for site facilities team to make the changes outlined above or initiate discussions with 3C ICT to take over this responsibility.</p>		

		<p>core and edge network hardware can be cooled. The units are routinely checked and serviced every 6 months under the responsibility of the site facilities teams.</p> <p>To prevent heat damage to equipment that has UPS protection during a power cut, all cooling should also receive UPS protection as well.</p>	<p>to hardware in a power cut.</p> <p>Install environmental monitoring systems with the ability to integrate in to a VESDA capable system (see fire suppression for more information)</p>			
CCC	San	<p>The legacy SAN and are now only used to support the Business Objects server within Cambridge City - see business systems</p>	<p>There is a new Business Objects server</p>	<p>Complete the migration of the Business Objects server to the new data centre. At which point the San and the ESXi environment can be decommissioned</p>		
CCC	ESXi	<p>Legacy virtual servers (ESXi) are used to support the Business Objects server within Cambridge City (see business systems) and additional Active Directory servers (see AD)</p>	<p>Business Objects - The new server can be used now and any additional report can be created by external resource if required</p> <p>There are additional AD servers providing resilience</p>	<p>Complete the migration of the Business Objects server to the new data centre. At which point the San and the ESXi environment can be decommissioned</p>		
CCC	AD	<p>Active Directory Windows network login authentication. New AD servers already operate in the new data centre. It remains for 3C ICT to find a suitable time to safely remove legacy AD servers (remove AD roles &amp; demote) and shut down. The impact</p>	<p>AD can be configured so that AD roles can be offered from a primary and secondary location in the event of a failure.</p>	<p>Recommendations: Review the AD setup so that AD roles can be offered from a primary and secondary location in the event of a failure until the legacy servers can be safely removed</p>		

		of losing the legacy domain controllers is much slower login times.				
CCC	DHCP	All sites and telephones rely on DHCP to provide IP addresses to network connected devices. Following the power outage in April 2019 a new server was provisioned to host DHCP services until it can be moved to the new datacentre.		Implementing changes to DHCP as part of migration to Eastnet		
CCC	Firewalls	<p>The hardware to host firewalls is local to the site and cannot be migrated to the new data centre as it has to be located there in order to secure the network at its perimeters. It is supported by the City data centre UPS that will give up to 10 hours of resiliency. Should this hardware fail then connectivity between the City sites and the internet would be affected preventing access to key cloud hosted Council applications for staff and access to backend systems for members of the public. Any failure would involve DR being invoked with MLL to repair or replace and affected applications would require their BCP to be invoked.</p> <p>The infrastructure is site specific and firewalls are part of the core services offered through Eastnet and managed and maintained solely by MLL.</p>	Alternative standby hardware could be purchased but this would be disproportionately expensive and incur additional cost for the length of time it will be required. Hardware costs for firewall modules can vary but an indicative estimate is £20k	Tolerate the risks as having a single firewall is IT industry accepted practice in all but high availability scenarios. Review BCP arrangements to make sure emergency responses are agreed and understood.		
CCC	Network Switches/Routers	This hardware, comprising of core switches, routers and edge switches	If a site is considered a key location or critical	Tolerate the risk to temporary loss of network and review BCP		

		<p>for endpoint devices cannot be migrated to the new data centre as they support local (site) access. The Core switches and routers are supported by a UPS that gives about 10 hours of resiliency.</p> <p>Should an edge switch fail then parts of the network affected (such as rooms or floors in a building) would be down and staff would need to relocate to nearby offices or work remotely.</p> <p>The core switches and router are covered by warranty and replacement contracts in the event of failure and some of the edge switches that are less cost effective to keep supported on contracts would be swapped out in the event of failure. If the core network or Eastnet router is down then the whole site would need to invoke DR working arrangements.</p>	<p>then money could be spent making the core network more resilient (perhaps standby core hardware) and getting a backup link to Eastnet (either new fibre link or a line-of-sight beaming solution). Indicative costs for a standby link are an additional £5k per year with line of sight solution costing approximately £10k to install but no ongoing costs. Standby network infrastructure costs vary but core Cisco modules (e.g. 65xx) can be around £60k and edge switches (e.g. Cisco 2960X) left unconfigured on standby for quick deployment could be £2k each.</p>	<p>arrangements so that responses (such as remote working plans) are agreed and understood.</p>		
<b>CCC</b>	<b>VDI</b>	<p>This is the application which allows users to connect into the Council if they are working from home, or run applications that do not work well on a small WiFi connection, such as IKEN. This setup went out of support from the vendors at the end of January 2019, and is therefore at a high risk until functionality is fully replaced by Council Anywhere. Following the</p>	<p>This risk could be mitigated by changing the agreed order of the Council Anywhere rollout to put City VDI users earlier in the process than they currently are (would require agreement from other partners) and</p>	<p>There are risks to systems that need VDI for access but the VDI environment has been rebuilt as part of the remedial work from the April 2019 issues and is on relatively new and supported hardware. Additionally the Council Anywhere rollout is well advanced to deliver the</p>		

		<p>recent power outage a new server has been provisioned to host this system however the Council are at risk should a VDi system issue occur through lack of any ongoing vendor support.</p> <p>The roll out of Council Anywhere Lite (approx 250 devices) has already significantly reduced the usage of the VDI system as more members of staff connect to systems via Global Protect from laptops.</p> <p>This system is out of scope for the Server room consolidation project as it will be superseded by the new devices under the Council Anywhere project.</p>	decommissioning this service	VDi replacement and therefore moving VDI users earlier does not warrant or justify rescheduling Council Anywhere deployment. Tolerate these risks until Council anywhere rollout replaces VDI.		
CCC	Roaming Profiles	<p>This service needs to remain in Mandela House whilst Windows 7 devices and VDI is operational, which will be until the completion of the Council Anywhere project. This is to ensure acceptable login/logoff performance. Large roaming profiles will take longer than an hour to login/logoff if stored in the new data centre and downloaded across WAN links leading to possible increase in corruptions. Additionally, Windows 7/Outlook 2010 users have their Outlook OST stored in the Roaming Profile</p> <p>Roaming Profiles will be phased out as</p>	As part of the remedial work from the April 2019 incident, roaming Profiles are no longer stored on the legacy SAN and are instead stored on supported hardware that is backed up to tapes which are stored off site.	Tolerate for the interim period and recover from backup when needed. Once users are migrated to Council Anywhere their profiles will be converted from Roaming to Redirected Profiles.		

		<p>users adopt Windows 10 /Council Anywhere/Redirected Profiles.</p> <p>Current risks: Staff using VDI &amp; Windows 7 devices could be unable to log in if the server hosting roaming profiles is unavailable and also may be unable to access their email inbox. This is a legacy issue.</p>				
CCC	Email	A number of Cambridge City shared mailboxes are currently stored onsite on load balanced Exchange servers in Mandela House. Part of the Council Anywhere programme of improvements is to move all the email into the Office 365 cloud.		Tolerate the risks until the shared mailboxes are migrated into O365		
CCC	Telephony	<p>Telephones on desks throughout City offices rely on two things. Firstly, the Cambridge DHCP service provides addresses and connectivity settings to Unify handsets. Secondly, the telephones connect to the primary Unify data centre and telephony services in Newport (Wales) or failover site in Slough. If the DHCP service is not available then the telephone handsets are unable to connect to either of two Unify data centres and will not function.</p> <p>If the DHCP servers fail and cannot be restored then the network settings for telephones would need to be recreated on a new DHCP server that</p>		<p>Review BCP arrangements to make sure that response times to failures are appropriate and expectations managed.</p> <p>Publicly accessible numbers such as service helplines could be setup so that if Unify cannot route calls to the telephone where they need to be answered then they could be rerouted to an alternative option such as someone's mobile.</p>		

		<p>the telephones would connect to and pick up. These settings were successfully recreated during the recent power outage that affected the DHCP server in the Mandela House server room. However, due to the specific configuration required for Unify this is a laborious and time consuming manual process.</p> <p>This service has N+1 resiliency on telephone services provided that a telephone handset can connect to the 2 remote Unify data centres.</p> <p>With the deployment of Council Anywhere however the reliance on traditional desktop telephony will reduce over. 3C ICT have a future telephony proposal for the next telephony phase based around Microsoft Teams.</p>				
CCC	<p><b>Business systems – a small number of systems remain in Mandela House</b></p>	<p><b>M3 application (Environmental Health)</b> Project underway to procure replacement has been delayed. Work to migrate this to the new data centre will be investigated and scoped.</p> <p><b>SVS Application</b> - This is a legacy Housing Maintenance system that provides surveyors with information on Council Housing properties. This application will be replaced/incorporated into the</p>	<p><b>M3 &amp; SVS Application</b> - The system is backed up and can be restored from the last good backup set if required. If there is a failure with this service in Mandela House then it would be restored according to priorities stated in the Business Continuity Plan.</p>	<p>Recommendations: Tolerate the availability risks.</p> <p>Review BCP arrangements to make sure that response times to failures are appropriate and expectations managed.</p> <p>For M3 3C ICT will scope out the work to migrate this to the new datacentre and agree timescales for this with</p>		

		Orchard Housing Replacement  <b>Business Objects (Reporting)</b> New system in place and configured awaiting sign off from business by end of 2019	<b>Business Objects (Reporting)</b> The new server can be used now and any additional report can be created by external resource if required	intelligent client.		
<b>All</b>	<b>Cloud Hosting</b>	Many systems are hosted by 3 <sup>rd</sup> party cloud hosting providers which are outside of the control of 3C ICT.	SLA's with 3 <sup>rd</sup> party cloud hosting companies	tbc	tbc	tbc

## Appendix B – Strategic Application Risk Matrix



Note – December 2019 is the first time that this risk matrix has been produced. It will be iterated in future versions to include more information.

Support and maintenance costs are above £5k a year unless stated otherwise.

Council	Service Area/Owner	Application Name	Supplier	Dec-19
City	Revs & Bens & Name	R&B SaaS Application (RB Live)	Northgate	
City	Corporate & Customer Services	Openscape	Unify Atos Collaboration Solutions	
City	Corporate & Customer Services	Openscape	Unify Atos Collaboration Solutions	
City	Housing	Orchard	Orchard Information Systems	System replacement underway - support from vendor in place during migration. Mar 20.
City	Corporate	Uniform	Idox Plc.	
City	Corporate	TLC	Idox Plc.	
City	Corporate	Public Access	Idox Plc.	
City	Corporate	IDOX DMS	Idox Plc.	
City	Env. Health	M3	Northgate	System replacement underway - support from vendor in place during migration
City	Corporate	GIS Desktop	ESRI	
City	Corporate	Intranet Mapping	ESRI	Current version is old and whilst in support plans are already underway to replace the entire GIS solution across all 3 authorities in first quarter 2020.
City	Shared Waste & Customer Services	Contender	Agile Applications	Extended support
City	Customer Services, Cashiers and Finance	Capita Systems (including pay.net, ACR & website payments, etc.)	Capita	
City	Customer Services	Front Office	Northgate	

City	Customer Services	Impact360 – Call Recording Software	Verint via ATOS (Unify)	
City	Corporate	EDRMS	Idox Plc.	
City	Estates and Facilities	CEMAR Online Contract management software used in Asset Management	CM Toolkit Ltd	
City	Revenues & Benefits	Citizen Access - Benefits Software	Northgate Public Services	
City	Customer Service Centre	Govmetric	ROL Solution	
City	Revenues & Benefits	Risk Based Verification Software - Xantura	Northgate Public Services	
City	Shared Legal Service	Legal Case Management	IKEN	
City	Elections	Eros	IDOX	
City	Environment & Waste	In-Cab technology domestic waste	Webaspx	
City	Democratic Services	Issue Manager	Modern Mindset	
City	Crematorium	Epilog	Gower Consultants	
City	Revenues & Benefits	Analyse Local Subscription	Inform CPI Ltd	Confirming use of this application in City. Dec 20.
City	Finance	Business Objects	Business Intelligence	Upgrade underway - support from vendor in place during migration. End Dec 19.
City	Housing	SVS Mobile	Castleton was South View Solutions (SVS) Contract is with Orchard	System replacement underway - support from vendor in place during migration. Mar 20.
City	Property Services/Planning	Contact Centre Audio Service	Premier Business Audio	
City	HR, Housing, Revs & Bens	Information@Work	Northgate	
City	HR & Payroll	ResourceLink	Zellis (was NGA)	
City - There are 44 other applications under £5k a year which range from £120 a year to £4990 annual support costs. These are deemed to be low risk applications due to their use, size and number of users. There are 9 applications that are part of a larger application (for example M3 and Orchard).				
HDC	Leisure	MRM Plus 2	Gladstone	Extended support from Microsoft. Working with vendor on server migration. April 20.

HDC	Revs & Bens	Revenues & Benefits	Northgate	
HDC	Planning, BC and others	Uniform	Idox Plc.	Migration to update version underway but maintaining support from vendor. Feb 20.
HDC	HR/Payroll	NGA ResourceLink	Zellis	
HDC	Corporate	ArcGIS	ESRI	Current version is old and whilst in support plans are already underway to replace the entire GIS solution across all 3 authorities in first quarter 2020.
HDC	Env. Health	Flare	Civica	
HDC	Customer Services, Finance & Revs and Bens	AIM	Capita	
HDC	Benefits	IEG e-forms	IEG4	
HDC	Benefits	Housing Benefit Risk Based Verification ASP Services	CallCredit	
HDC	Leisure	Tableau	The Information Lab	
HDC	Fraud	InCase	Intec	
HDC	Elections	Xpress	Express\Civica	
HDC	Corporate	Information@Work	Northgate	
HDC	HR/Payroll	Webrecruitment	Zellis Group	
HDC	Democratic Services	Modern.gov	Modern Mindset	Extended support from Microsoft. Working with vendor on server migration. Apr 20.
HDC	Customer Services	Customer Relationship Mgt (CRM) Corporate CRM	IBM	
HDC	Leisure	MyWellness Technogym Wellness System	Technogym	
HDC	Document Centre	PRISMA ACCESS/PREPARE	Canon UK	Software being considered as part of an outsourcing exercise.
HDC	Revs & Bens, Resources	Business Objects	CACI Ltd	
HDC - There are 31 other applications under £5k a year which range from £276.99 a year to £4116.59 annual support costs. These are deemed to be low risk applications due to their use, size and number of users. There is 1 application that is part of a larger application (Datalink).				
SCDC	Revs & Bens	Open Revenues	Civica	
SCDC	Housing	Orchard Housing	Orchard Information Systems	System replacement underway - support from vendor in place during migration. Mar 20.
SCDC	Env. Health	M3 Public	Northgate	

		Protection		
SCDC	Housing	Keystone Asset Management System	Civica	System replacement underway - support from vendor in place during migration. Mar 20.
SCDC	Revenues and Benefits	OpenHousing	Civica	
SCDC	Corporate	GIS GeoStore	Aligned Assets	Current version is old and whilst in support plans are already underway to replace the entire GIS solution across all 3 authorities in first quarter 2020.
SCDC	Corporate	Information@Work	Northgate	Migration to update version underway but maintaining support from vendor - able to run on RDS. Jan 20.
SCDC	Democratic Services	Xpress	Xpress/Civica	
SCDC	Licensing	Lalpac	IDOX	Upgrade being planned with the vendor and support being maintained. Feb 20. Users able to access the system via RDS on Windows 10 devices.
SCDC	Democratic Services	Modern.gov	Modern.gov Mindset	
SCDC	Revenues and Benefits	Cloud Service re Income Management	Capita	
SCDC	Housing	SVS Mobile Full Suite	Orchard Information Systems Ltd	System replacement underway - support from vendor in place during migration. Mar 20.
SCDC - There are 17 other applications under £5k a year which range from £132.31 a year to £4707 annual support costs. These are deemed to be low risk applications due to their use, size and number of users. There are 3 applications that are part of a larger application (Orchard for example).				
All 3	3C ICT	Yotta	Yotta	
All 3	3C ICT	Technology One	Technology One	
All 3	3C ICT	Mimecast Email Management Express	EACS Ltd	
All 3	3C ICT	Trend Micro Enterprise Security Suite	Phoenix Software	
All 3	3C ICT	Hornbill Service Desk Manager	Hornbill	
All 3	3C ICT	Matrix	Keytree	
All 3	3C ICT	Vuelio	Vuelio	

## Appendix C – Service Catalogue

This contains the list of all live services. To date, the list has primarily been used by those who are involved in the support of the services listed.

- Service Desk and End User Support.
- Network and Infrastructure Support.
- Communications Support.
- ICT and Digital Strategy Formulation.
- Supporting the development and delivery of the councils own digital strategy
- Technical / Solutions Architecture.
- ICT Project, Procurement, Contract and Supplier Management.
- ICT Bespoke Service Delivery.
- Data Centre Management.
- Telephony Management.
- Data and System Backup and Recovery.
- Local Area Network (LAN) & Wide Area Network (WAN) Management.
- ICT Security Management.
- Email Support & Web Filtering.
- Desktop Provision / Replacement.
- Office Computer Provision.
- Flexible / Homeworking Service.
- Mobile ICT Provision (incl. smartphones & tablets).
- Print Facilities.
- Audio Visual Facilities (provision & support).
- Database administration and management.
- Application Maintenance and Support.
- Release Management (Infrastructure and Applications).
- GIS Management.
- Address Management.
- Information Governance/Management.
- Website and intranet Support (incl. web apps and web forms).
- Website development.
- SharePoint / Office 365 Support and Development.
- System Integration Support and Development.
- Training.
- Compliance (inc PSN / PCI).
- Licence Management / SAM.
- Test Plan Development.
- Client Service Management.
- Finance and Billing.
- System packaging (AppV / SCCM etc).
- Unix / Linux Physical Windows support
- Business analysis & Business support.
- Software development and integration e.g. dev of App integration by Digital team.

## Appendix D

### Current ICT priorities agreed with Intelligent Clients and Shared Services board for the period up to Dec 31<sup>st</sup> 2019:-

<p>Eastnet MLL migration</p>	<p>Agreed High priority taking resources from all teams within ICT – Primarily all resources from Network and Infrastructure team are involved in the installation and commissioning of links and circuits as well as the cut over. Activity taking place daily with requests coming from MLL with no more than a weeks notice, but more commonly 2 or 3 days notice to attend a site. Critical dates – 3 to 4 days preceding 5<sup>th</sup> Nov + Nov 5<sup>th</sup> to Nov 8<sup>th</sup> for WiFi service migration for all 3 councils Critical dates - 4<sup>th</sup> Nov to 16<sup>th</sup> Nov for Firewall migration preparation and commissioning work. 18<sup>th</sup> Nov Firewall migration for all 3 councils and 3C ICT. Backfill resources are in place to cover BAU server fault support and network administration. Critical dates – HDC network infrastructure (Layer 2 bridge) change to support migration to MLL and implement Council Anywhere infrastructure at HDC. If not done significant network performance issues will impact CA roll out at HDC.</p>
<p>Council Anywhere</p>	<p>Agreed High priority – roll out continuing across all three councils, SCDC nearing completion, CCC held up due to Unify phone system upgrade issues. Backfill resources and temporary deployment resources are already in place. Critical dates – 4<sup>th</sup> to 12<sup>th</sup> Nov for prep and change to data centre networking at Pathfinder house to allow HDC Council Anywhere infrastructure to be fully implemented. This links to MLL EastNet migration work too.</p>
<p>Unify upgrade at CCC (Not a project, but Change / Incident management related)</p>	<p>Technical resources from Applications team supporting CSC resources for preparation and testing. As soon as this is successful the resources will be developing the Council Anywhere configuration for the CSC. All new devices must be rolled out by Dec 31<sup>st</sup>.</p>
<p>Shared planning implementation</p>	<p>Resources from Application support and network and infrastructure team needed 2<sup>nd</sup> half of Nov to complete implementation of the Service areas' plan-b due to data migration issues from the supplier and delays in testing. Preferred option would result in slip to go live. This work will need to be picked up again in the new year</p>

	once the supplier has had the chance to fix the data migration issues.
Orchard housing implementation	Network and Infrastructure team resources are needed to complete the server build, but the schedule now clashes with MLL EastNet activity. Earliest date that servers can be built and ready for Orchard is 18 <sup>th</sup> Nov. Enquiries with Orchard to confirm if they can accommodate this date as this is 2 to 3 weeks later than they'd prefer.
InTune implementation	Supports the management, support and security of the Mobile Phone estate. Resources from desktop team and application support team for Oct through to end of Dec. We must move off the legacy Airwatch system to avoid costly renewal fees. Back fill resources within desktop team are already assisting with this work.
Server room consolidation	Agreed completion by end of Oct, but the last few tasks have now slipped into Nov due to resources being focused on MLL Eastnet.
Site closures and moves – Including Akerman street	Project Management resources overseeing site closures and moves. Links to MLL Eastnet work due to ceases and deadlines to site moves.
PSN procurement	Project management resources starting the procurement process for the next IT Health checks in order to begin the PSN accreditation renewal process for all 3 councils.
Telephony system design	Project Management and technical architecture resources starting the system design and documentation work to support the project start up and requirements capture.

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<sup>i</sup> Irina Popova Benefits study.

**BUSINESS PLAN FOR LEGAL SHARED SERVICE  
2020/21**

<b>Service Leads</b>			
<b>Head of Practice</b>	Tom Lewis		
	<b>Cambridge City Council (CCC)</b>	<b>Huntingdonshire District Council (HDC)</b>	<b>South Cambridgeshire District Council (SCDC)</b>
<b>Director of Shared Service</b>	Fiona Bryant	Oliver Morley	Susan Gardner-Craig
<b>Lead Councillor</b>	Cllr Robertson	Cllr Tysoe	Cllr Gough

<b>APPROVED BY</b>	<b>Status</b>	<b>Date</b>
<b>Steering Group</b>		
<b>Management Board</b>		
<b>Joint Leaders and CEX Group</b>		
<b>Cambridge City Council [Executive Councillor and Scrutiny Committee]</b>		
<b>Huntingdonshire District Council Cabinet</b>		
<b>South Cambridgeshire District Council Cabinet</b>		

<b>Reporting timetable</b>	
<b>Version</b>	<b>Date</b>
1.0	24 February 2020

## SECTION 1: CONTEXT AND OVERVIEW

### A. PURPOSE OF THIS DOCUMENT

This is the Business Plan for the Legal Service, part of 3C Shared Services, for 2020/21. It describes how the shared service arrangement outlined in the approved Business Case will be delivered to ensure objectives are achieved and business benefits are realised within a robust governance framework and in the context of the partner councils' corporate plans.

The following objectives have been agreed:

- Protection of services which support the delivery of the wider policy objectives of each Council.
- Creation of services that are genuinely shared between the relevant councils with those councils sharing the risks and benefits whilst having in place a robust model to control the operation and direction of the service.
- Savings through reduced management costs and economies of scale.
- Increased resilience and retention of staff.
- Minimise the bureaucracy involved in operating the shared service.
- Opportunities to generate additional income, where appropriate.
- Procurement and purchasing efficiencies.
- Sharing of specialist roles which individually, are not viable in the long-term.

### B. DESCRIPTION OF THE SERVICE

The Legal Shared Service known as the Practice went live in October 2015.

The Practice is an internal facing service (unlike Building Control for example) providing specialist advice to the 3 partner authorities. The Practice does not provide any service directly to the public.

The Practice provides legal advice across the Partnership in a range of legal disciplines including:

- Litigation
- Property
- Procurement and
- Planning.

The Practice also provides legal support to executive and non-executive committees including the main regulatory committees such as Planning and Licensing, and any appeal work that flows from their decisions and provides Monitoring Officer advice and administers the Member Conduct Complaints process.

Where a query arises, which is not covered by skills within the internal team the Practice assist the client in arranging expert advice be it from a Solicitor or a Barrister. Given the Practice has access to a range of preferential rates this results in better value for the client whilst ensuring they receive the best advice in a fast-changing local government world, where for example the pressure on commercialisation has radically changed the way councils operate.

The Practice also provides legal representation on various groups within the Partnership such as the following:

- CCC Quality Assurance Group

- HDC Quarterly Intelligent Client meetings between Head of Legal and HoS
- SCDC Investment Governing Board and The Investment Selection Team
- 3C ICT Information Security Group

This is an effective way of involving legal at the earliest possible stage in projects to allow potential problems/ pitfalls to be identified and where possible pragmatic solutions delivered.

The Practice has continued to develop the role of the intelligent client across the partner authorities deliver effective legal services and add value. Where it has been necessary to procure external expertise to provide legal support on matters, the intelligent client role is one where the Practice will work with the client to understand that need and source the most appropriate and cost-effective advice from the marketplace. The support offered by the Practice would continue as needed, working alongside those external colleagues and the client.

## C. FINANCIAL OVERVIEW

<b>Budget Versus Outturn</b>						
	<b>2015/16 BASELINE Budget £</b>	<b>2017/18 Budget £</b>	<b>2017/18 Outturn £</b>	<b>2018/19 Budget £</b>	<b>2018/19 Outturn £</b>	<b>2019/20 Budget £</b>
Gross Spend		1,343,690	1,357,013	1,392,060	1,261,070	1,391,090
Less Income		-194,550	-247,011	-200,840	-269,565	-280,760
<b>Shared Services Contribution</b>	<b>1,193,660</b>	<b>1,149,140</b>	<b>1,110,002</b>	<b>1,191,220</b>	<b>991,505</b>	<b>1,110,330</b>

The outturn for 2018/19 of £991.5k represents a 17% saving on the 2015/16 Baseline of £1,193k

<b>Budgets 2015/16 to 2020/21</b>						
	<b>BASELINE 2015/16 £</b>	<b>2016/17 £</b>	<b>2017/18 £</b>	<b>2018/19 £</b>	<b>2019/20 £</b>	<b>2020/21 £</b>
<b>Baseline Budget</b>	1,193,360					
<b>Savings Target</b>	<b>-179,000</b>					
<b>Savings Target %</b>	<b>15%</b>					
<b>Original Budget</b>		<b>1,193,360</b>	<b>1,120,490</b>	<b>1,149,370</b>	<b>1,191,220</b>	<b>1,110,330</b>
Add - Inflationary adjustments including pay award		<b>46,130</b>	<b>28,880</b>	<b>41,850</b>	<b>38,210</b>	<b>22,200</b>
<b>Budget plus inflation</b>		<b>1,239,490</b>	<b>1,149,370</b>	<b>1,191,220</b>	<b>1,229,430</b>	<b>1,132,530</b>
<b>Reduction / Saving on Inflated Budget</b>		<b>-119,000</b>	<b>0</b>	<b>0</b>	<b>-119,100</b>	<b>0</b>
Revised Budget (Net of savings/ budget reductions and inflation)		<b>1,120,490</b>	<b>1,149,370</b>	<b>1,191,220</b>	<b>1,110,330</b>	<b>1,132,530</b>

**Forecast Budgets - including savings - assumes inflation at 2% pa from 2020/21**

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
	£	£	£	£	£	£	£
Gross Budget	1,389,660	1,391,090	1,418,910	1,447,290	1,476,240	1,505,760	1,535,880
Less Income	198,440	280,760	286,380	292,110	297,950	303,910	309,990
<b>Shared Services Contribution</b>	<b>1,191,220</b>	<b>1,110,330</b>	<b>1,132,530</b>	<b>1,155,180</b>	<b>1,178,290</b>	<b>1,201,850</b>	<b>1,225,890</b>

**Budget Contribution by each Partner**

	54.22%	18.54%	27.24%	100.00%
	CCC	HDC	SCDC	TOTAL
	£	£	£	£
2017/18	623,230	213,060	313,080	1,149,370
2018/19	645,813	220,862	324,545	1,191,220
2019/20	602,021	205,855	302,454	1,110,330
2020/21	614,058	209,971	308,501	1,132,530

The tables on the this and the previous page show positive results for the Practice.

Prior to its inception the combined budgets for the legal services for the three partner authorities was £1,444,000 and a savings target of £179,000 was set for 2016/17; the equivalent of a reduction of 15% of the net revenue budget after baseline budget after income has been applied.

Last financial year the outturn of £991,154 represented a 17% saving on the £1,193,360 baseline budget in 2015/16 despite £116,860 of salary inflation, which has been absorbed within the budget envelope.

For this financial year a further saving of 10% has been identified (£119K) which will remain out of the budget going forward. The current budget is forecast to be on target and the current budget includes a reduction of £119k (2019/20 savings target). The Practice is also expected to meet its income target for the current financial year. It is therefore on track to match the positive income figure generated for the last financial year of £269k.

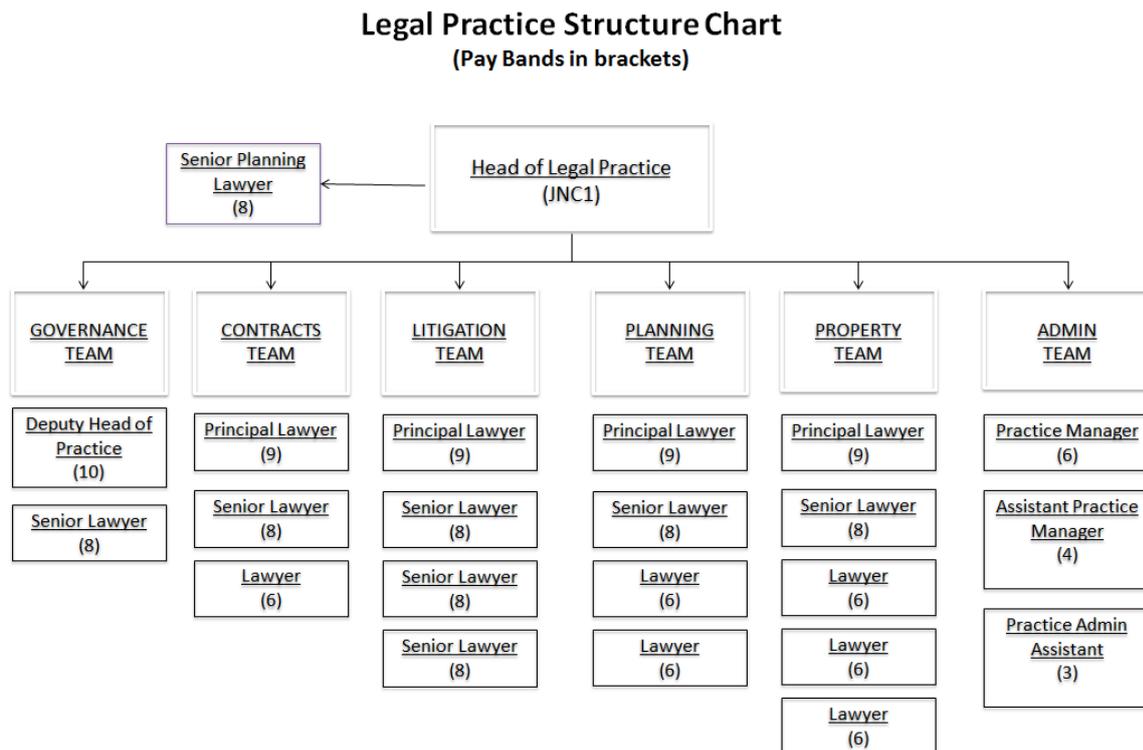
Savings have been achieved without reducing the number of fee earners for the Practice. Greater efficiency, seeking to minimise the use of agency staff and making more effective use of free/subsidised training opportunities have all contributed to achieving the saving without compromising service provision.

**D. STAFFING OVERVIEW**

## Organisational Structure

The Practice currently has 23 posts in its structure and follows the Cambridge City Council policies and procedures in relation to recruitment/handling of existing staff.

For ease of reference an up to date organisational structure is provided below showing the composition of the team:



## Equality:

All recruitment adheres to the Cambridge City Council policy to ensure all applicants are treated fairly. The Recruitment and selection process meets the requirements of Equal Opportunities Employment Policy, the Equality Act 2010 and all other relevant employment legislation. The Practice adheres to all other relevant Cambridge City Council policies in relation to Equality.

## E. LOOKING BACK

The first full financial year of the Practice was extremely challenging with the need to claw back a substantial overspend. Since then the Practice has stabilised and has in the last two financial years delivered a surplus against budget. Last year this was around £200k.

In relation to the savings identified for 2018/19 of £119k these were achieved and the) same figure again of £119k (representing 10% of budget) has been identified for this financial year and is not included in the budget going forward. The Practice is on course to deliver this saving this year.

The forecast for this financial year (2019/20) shows the Practice to be on target to deliver against

budget, given that the 10% saving identified for this financial year has been incorporated into the budget this represents a very positive performance.

The budgetary savings have been achieved by both cutting back on all items within the budget where alternate /more cost-effective options are available and ensuring that income generation continues to provide a means of offsetting costs. The use of free /subsidised training courses is an example of this. Given the opportunity afforded to present to an audience of potential customers, experts are willing to present at seminars on a range of topics with a view to generating potential work. Such courses are usually extremely focused as a result. By making use of such courses a saving of approximately £20k has been made.

The year to date has seen a continuation of the improvement in the level of hours recorded by fee earners seen at the end of the previous year's reporting.

Performance – 1 April 2019 to 30 September 2019

Target Hours	Actual Hours	Variance
10,085	9,334	-751
	<b>KPT Target</b>	90%
	<b>Actual</b>	92.5%

The Performance of the Practice to date has seen a positive progression from last year when the overall figure of 91% return on target hours was achieved. The introduction of Council Anywhere in the last quarter should assist greatly with improving this performance, indications from the team are that this will assist in terms of providing a speedier and more reliable service. In enabling flexible working more effectively it will also positively reinforce the progress made to date by the Practice helping efficiency, recruitment and retention moving forward.

Positive performance has been mirrored in relation to successful litigation outcomes.

Successful Litigation Cases – 1 April 2019 to 30 September 2019

Council	Cases Closed	Cases Marked as Successful	Success Rate (%)
CCC	171	170	99%
HDC	165	160	96.9%
SCDC	30	28	93%
		<b>KPI Target</b>	80%
		<b>Overall Success Rate</b>	97.8%

In terms of the high number of cases comparatively for HDC this is explained by the work undertaken by the Practice in relation to debt recovery and parking prosecutions. In terms of complexity such matters are more straightforward. Work is well underway with the client to seek to enable the client to process more routine paperwork /activity on these matters which is a more effective mechanism for interfacing with court/public. However, the figures remain encouraging and it is certainly the case that the work currently underway with the client (developing that intelligent client role) will seek to enhance the success rate.

Customer satisfaction levels (as reported quarterly to the management board) have also exceeded the 90% KPI target set last year. Certainly, more regular client engagement has assisted in boosting satisfaction levels to a figure of approximately 97% for the first 2 reporting quarters.

Working with clients through regular liaison meetings encourages feedback and interaction in addition to the client satisfaction surveys. These are available to clients at every level of the Practice and regular meetings are something which have been increasingly developed across the

Practice over the last 12 months. By listening to clients concerns and feeding back any areas where they can assist the Practice (through improved instructions/processes for example) the work of the Practice has become much more client focused.

Working closely with the client in relation to commissioning of external work and the way instructions are provided to the Practice has been extremely positive in improving efficiency and reducing costs. Regular meetings now take place with the client at all levels of the Practice. Examples would include participation in the Property Selection Team at SCDC whereby input is provided at the outset in relation to potential acquisitions. In this way when it does move to the stage of the Practice taking forward any property work a focused and considered set of instructions can be provided by the client already assisted by legal input to enable matters to be progressed at speed. Legal involvement in the Quality Assurance Group at CCC similarly enables legal input at the outset of projects making any legal involvement later on more efficient and focused. The quarterly intelligent client meetings at HDC held between the Head of Practice and other senior officers provide a similar function.

In recruitment there are challenges in filling several vacant posts (cover is currently being provided via locums within the existing budgetary provision). Across the last 12 months there have been recruitment drives which have not resulted in staff appointments. It is generally an extremely challenging market not just for legal but for other professional services such as accountancy. Ahead of a fresh recruitment push engagement has taken place with HR to refresh and enhance the process for legal recruitment in terms of the advertisements themselves and positioning thereof to place greater emphasis on some of the positive features of working for the Practice including flexible working, relocation packages etc. Further updates will be provided once this latest round of recruitment is concluded.

As well as the recruitment drive there is currently underway a review of the Practice by the Shared Internal Audit Service. This is part of ordinary business but will be extremely helpful in informing any changes to process/systems that the Practice needs to make. In combination with the current recruitment processes the findings of this consideration by audit will be used to inform a wider consideration of the Practice and its future direction.

Consumption – 1 April 2019 to 30 September 2019

Council (% budget contribution)	Hours Consumed Q1	Hours Consumed Q2	Total for Q1 and Q2	Forecast Budget 2019/20 using Q1/Q2 %s (£)
CCC (54.22%)	1,875.11 (42.53%)	2,294 (46.57%)	4,169.11 (44.66%)	495,874
HDC (18.54%)	1,133.13 (25.70%)	1,198 (24.32%)	2,331.13 (24.97%)	277,249
SCDC (27.24%)	1,400.65 (31.77%)	1,434 (29.11%)	2,834.65 (30.37%)	337,207
<b>Total</b>	<b>4,408.89 (100.00%)</b>	<b>4,926.00 (100.0%)</b>	<b>9,334.89 (100.00%)</b>	<b>1,110,330</b>

Budgetary contributions by the respective Councils' show a slight disparity in hours consumed by SCDC and HDC in excess of forecast budgetary contribution whereas CCC are consuming less than the percentage forecast budgetary contribution. Service consumption will be reviewed, and adjustments made to budgetary contributions to reflect consumption. The charging model will also be kept under review. This will become effective in the 2020/21 financial year.

**F. LOOKING FORWARD**

The roll out of Council Anywhere has just taken place. Early indications are that this is offering an

improved working platform for the Practice. This is crucial to enable the Practice to progress and in providing it with the ability to attract and retain staff. Efficient flexible working arrangements are a huge plus point in selling the Practice as a good environment in which to work. Better access to IKEN and improved ICT systems will enhance flexible working and therefore the attractiveness of the Practice to staff. This should improve the success of future recruitment strategies and enable the Practice to secure permanent employees.

The business continuity plan for the Practice has been developed to reflect the importance of continuous liaison with ICT and the specific expertise now carried by ICT in relation to the IKEN system. This should enhance resilience for the Practice considerably in the next 12 months.

On the ground a text and “whatsapp” group has also been established for internal communication amongst the Practice. This worked extremely well during the network outage over the summer in keeping the Practice operational. This has been reflected in an update /review of the Practice’s business continuity plan and will continue to be expanded upon in future.

It is vital that the good work of the past 12 months in developing the effective, cohesive relationship between client and lawyer continues. Efficient working practices can continue to be developed with this relationship to encourage the best use of time for both parties.

**Risks and Threats:**

Risk Description	Risk Mitigations
IT - continued disruption to the service caused by systems failures, outages, inability of staff to log on/access practice management (IKEN) system.	Roll out of Council Anywhere and continued work with ICT to alleviate current issues. Development of IKEN specific expertise in ICT and improvements to the IKEN package. Roll out of What’s App internal group.
Loss of staff – salaries in the relation to private practice are not on the same level and the cost of living in the surrounding area is high. This, together with any number of other circumstances could lead to the loss of staff.	The IKEN management system allows for work to be picked up by alternate fee earners. The role out of Council Anywhere should assist in boosting ability of current staff to work from further afield whilst aiding recruitment. Access to locum/temporary cover via framework agreements assists in relation to any recruitment gaps.
Recruitment of Staff - Currently recruitment is underway to several vacant posts where cover is currently been provided by agency staff. It is a challenging market and it may be that recruitment to all vacant posts is not possible.	Engagement with HR has sought to refresh and focus advertising. It has also sought to understand and learn from the experiences of other services such as Finance and Building Control who have had difficulty in recruitment.  In stressing the flexibility of working arrangements and variety available to those working for the Practice it is hoped to attract good interest in this latest recruitment round. In the event recruitment is not possible while continued legal provision through agency staff will be possible it will be necessary to consider further the structure of the Practice moving forward. This would include consideration of

the use of more paralegals and trainees given that the market for this type of staff is more buoyant and once operating within the Practice such staff could be developed and potentially advance within the Practice.

## **G. COMMUNICATION AND ENGAGEMENT**

On-going dialogue will continue with Client departments and the Practice has set up an Intelligent Client role to liaise with individual partner's authority's needs, consumption rates and issues.

The Client Care brochure is available via the following link -  
<http://intranet.3csharedservices.org/media/1317/client-care-brochure.pdf>

A number of regular client meetings are in place across the Practice for litigation, planning, property and procurement teams seeking feedback on the performance of the Practice, to discuss and agree changing and new priorities, and identify opportunities for improvement and service development to meet colleagues' needs and increase external income generation. These meetings are extremely helpful in identifying any areas where performance can be improved and equally in allowing areas where the client can assist in improving performance through for example the provision of better instructions or in assisting with assembly of information.

In addition, the Head of Practice has had useful discussions with various Heads of Service/ Directors in order to drive through improved performance and enforce good practice in terms of instructions to legal as well as considering how best to procure future external legal advice. To foster the best possible working relationships such dialogue at fee earner/Head of Service level is encouraged and available at any time. In the last 12 months an example of the efficiencies that can be generated through such cooperation has been the increased client role in readying information to submit to the court service in relation to housing matters.

**SECTION 2: OPERATIONAL PLAN 2020/21**

**SECTION 2A: BUSINESS PLAN PERFORMANCE INDICATORS**

Item	Priorities for the service	State where these priorities are outlined ( <i>Corporate plans, strategies</i> )	Actions that will deliver the priority	Outputs from the activity	Outcomes from the activity
2a:1	Embed the use of consumption recharging model	3C Management Board Business Case	Use of coding with Iken time recording system	Quarterly consumption report for partner authorities	Ability for partner authorities to identify areas for reduction in legal spend
2a:2	Reduce external spend across partner Councils by improving 3C Legal commissioning role and reviewing what legal work is outsourced by Councils at the moment outside the 3C Legal framework and review if it could be carried out in-house where possible	Initial business case agreed at July 2015 S&R Committee	<p>Analysis of external spends across each Council.</p> <p>Review of direct delivery and commissioning capability and capacity within the Practice. This will be assisted by use of FMS across Partner authorities.</p>	<p>Reduce the external legal spend of each Council and the Practice</p> <p>Improve commissioning of external legal advice to deliver quality, value-for-money support</p> <p>3C Legal has an accurate and timely oversight of all externally commissioned legal work and future need</p>	<p>A reduction in the cost of out-sourced work</p> <p>More work being carried out in-house</p> <p>Improved value-for-money for partner Councils</p>

2a.3	Improve performance management of the Practice through the use of the new IKEN Analysis and Reporting Module.		The Practice will continue to make use of all available training on the IKEN management system to assist staff in improving performance.	Detailed management information on the caseload, resource consumption and performance of the Service	Partner Councils are satisfied with the Practice's performance.  Partner Councils can better influence work priorities to meet their needs
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## SECTION 2B: SERVICE KEY PERFORMANCE INDICATORS

KPI	Performance Measures (provide a list only - target information is included in section 4)	Dependencies (ICT, Finance, Human Resources, accommodation etc)	Key risks to delivery (include how these will be mitigated)
KPI-1	Staff productivity - 20 fee-earning staff to record 1,200 hours per annum per fee earner	ICT, accommodation, Human Resources, Practice Management	ICT has proved a difficulty in terms of staff productivity. By necessity the Practice operates using a paperless practice management system (IKEN). When ICT downtime is experienced fee earners are severely limited in terms of work that can be done. Work is underway in direct liaison with the interim Head of ICT to tackle the Practice specific problems in addition to work being undertaken by ICT to tackle network issues.
KPI-2	Case Disputes Resolved in favour of the Practice - Measure of percentage of disputes awarding in favour of the Practice		Quality of instructions, ability to recruit and retain staff.
KPI-3	Customer Satisfaction Levels	ICT, accommodation, Human Resources, Practice Management	ICT – where delays to output are as result of downtime. See mitigation against KPI 1

### SECTION 3: 2020/21 SERVICE DEVELOPMENT ACTIVITIES

#### SECTION 3A: SERVICE DEVELOPMENT OBJECTIVES

<b>Development objective 1</b>	Participation in Local Government Association (“Local Government Association”) Framework for provision of legal services to other public authorities.	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Increase in external income	<b>Lead officer</b>	TL
<b>Is this a Project? (Yes/ No) and description</b>	Not a Council led project. The LGA has identified a gap for Councils’ nationwide.				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Increased income generation without the pitfalls of establishing an arm’s length trading arm. There are several instances where such models for legal services have encountered difficulties			Income generated		
<b>Outputs &amp; products</b>	<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>	
A flexibility ability to utilise spare capacity to generate income. This perfectly fits the needs of the Practice without complications of insurance, marketing, fluctuations in capacity etc.	Minimal at development stage. LGA currently seeking expressions of interest	Tom Lewis		TBC	
<b>Key risks</b>	LGA fail to take forward the project.				

<b>Development objective 2</b>	Internal Audit is to undertake a review and consideration of the Practice	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Understand and decrease external legal spend and ensure that the Practice is providing a robust/professional service	<b>Lead officer</b>	TL
<b>Is this a Project? (Yes/ No) and description</b>	This is a review of the Practice being undertaken by the Shared Internal Audit Service.				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. The review will assist in identifying any areas for improvement.			Internal Audit will produce a report and benefits will feed into budget and KPI's		
2. The review will assist in providing surety that the Practice is providing a robust, professional and reliable legal service to the Partnership.			Internal Audit will produce a report and benefits will feed into budget and KPI's		
3. Assisting in capturing and understanding external legal spend			Internal Audit will produce a report and benefits will feed into budget and KPI's		
<b>Outputs &amp; products</b>	<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>	
Greater assurance and improved performance for the Practice.	Built into the Shared Internal Audit Services work program.	Tom Lewis		TBC	
<b>Key risks</b>	Internal Audit identify shortcomings in the Practice and areas requiring improvement/work.				

#### SECTION 4: KEY PERFORMANCE INDICATORS (KPIs)

## Organisational, Service and Corporate Plan Performance Indicators

The table below should list organisational performance indicators (KPIs) applying to the service, key PIs from the action plan in section 2A and any PIs from partners' Corporate Plans that this Service is responsible for reporting against.

KPI Reference and Description		Reporting frequency	2019/20 Target
<b>Key Service PIs</b> (to be selected from the action plan at section 2B)			
KPI-1	Staff productivity	Quarterly	1,200 hours per annum per fee earner pro-rata
KPI-2	Case Disputes Resolved in favour of the Practice	Quarterly	80% success
KPI-3	Customer Satisfaction	Quarterly	90% success
<b>Business Plan KPIs</b> (all PIs in the Business Plan that your service is responsible for should be listed here at Section 2A)			
Customer Satisfaction		Quarterly	90%
Litigation Case Success		Quarterly	80%
Staff Productivity		Quarterly	90%

**BUSINESS PLAN FOR GREATER CAMBRIDGE SHARED PLANNING SERVICE  
2020/21**

<b>Service Leads</b>		
<b>Head of Shared Service</b>	Stephen Kelly	
	<b>Cambridge City Council</b>	<b>South Cambridgeshire District Council</b>
<b>Sponsor Director</b>	Fiona Bryant	Susan Gardner-Craig
<b>Lead Councillor</b>	Katie Thornburrow	Tumi Hawkins

<b>APPROVED BY</b>	<b>Status</b>	<b>Date</b>
<b>Steering Group</b>	Draft	TBC
<b>Management Board</b>		
<b>Joint Leaders and CEX Group</b>		
<b>Cambridge City Council</b> [ <i>Executive Councillor and Scrutiny Committee</i> ]		
<b>South Cambridgeshire District Council Cabinet</b>		

<b>Reporting timetable</b>	
Progress updates in quarterly reports will inform the preparation of annual reports, to be submitted to the partners' decision-making bodies in <i>March 2020</i> as part of the strategic review process set out in Schedule 2 to the Partnership Agreement.	
<b>Version</b>	<b>Date</b>
<b>Version 2.2</b>	<b>31/10/2019</b>
<b>Version 2.3</b>	<b>09/01/2020</b>
<b>Version 2.4</b>	<b>31/01/2020</b>

## SECTION 1: CONTEXT AND OVERVIEW

### A. PURPOSE OF THIS DOCUMENT

This is the Business Plan for the Greater Cambridge Shared Planning Service for 2020/21. It describes how the service is progressing towards implementation of the Shared Service project principles agreed between the respective Councils in 2015 and subsequently for the shared planning service in 2017 together with the planned outputs for 2020/21.

Based upon the work to date, the service is working towards the following objectives:

- To create and deliver an effective programme and the continued development of a single, unified "Greater Cambridge" planning capability serving the Planning Committees and policy making of each of the participating Councils
- To support the effective delivery of both councils shared priorities through their individual business and corporate plan.
- To build a shared capacity and capability within the combined teams (and provide opportunities to support others) in a way that seizes opportunities for efficiency and quality improvements by providing services and products (including additional charged services) that meet the needs of users and the community at the lowest net cost.
- To deliver a service that can be flexible - in deployment and delivery
- To build/retain a reputation for professionalism, staff development, the delivery of high-quality outcomes and competent "business management" amongst peers and partners

### B. DESCRIPTION OF THE SERVICE

The Greater Cambridge Shared Planning Service is the "Local Planning Authority" for the areas of SCDC and Cambridge City Council. It therefore has several statutory roles to perform on behalf of the two Councils, and in addition undertakes several "discretionary" activities that complement the delivery of corporate and strategic planning objectives:

#### Statutory Services

- Determination of Planning and related applications as the District Level Local Planning Authority
- Responsibility for the preparation, monitoring and review of local "development plans" for the area
- Overseeing the delivery of Neighbourhood Plans
- Designation of Conservation Areas
- Responding to Land Charges requests/searches

#### Non-Statutory Activities

- Enforcement of planning regulations
- Provision of specialist advice on planning and related applications
- Preparation of "non-statutory" planning documents
- Strategic Spatial Planning
- Economic Development

To deliver these services, through 2018 and 2019 the service has implemented a "whole service" restructure. This focussed upon two service centred teams (led by an Assistant Director) and a central support/enabling team to assist the Senior Management Team in managing the efficient operation of the "business." During the

ongoing implementation phase of the project, the service is also being supported by a discrete implementation capability. The management structure within each of the teams is attached as Appendix 1.

The service although statutory can charge fees (set nationally) for planning and related applications and for land charge searches. It also levies a range of discretionary charges for pre-application advice and to support in policy development (see below).

## C. FINANCIAL OVERVIEW

The following information illustrates the budget position for Planning. [NOTE: DRAFT - to be updated following the review of the shared service charges and agreements]

Budget Category	2017-18 SCDC	2017-18 CCC	2017-18 Combined (SCDC & CCC)	2018-19 Combined (SCDC & CCC)	2019-20 Combined (SCDC & CCC)	2020-21 Combined (SCDC & CCC)	2021-22 Combined (SCDC & CCC)
Budget Expenditure (Gross)	5,762,720	5,543,000	11,305,720	8,551,180	8,154,180	8,443,828	8,443,828
Budget Income	(2,918,980)	(3,578,650)	(6,497,630)	(4,350,070)	(4,620,123)	(5,857,401)	(5,857,401)
<b>Budget Total (Net)</b>	<b>2,843,740</b>	<b>1,964,350</b>	<b>4,808,090</b>	<b>4,201,110</b>	<b>3,534,057</b>	<b>2,586,427</b>	<b>2,586,427</b>
Actual Expenditure (Gross)	6,035,443	5,111,661	11,147,104	8,067,545	Not Available		
Actual Income	(3,422,509)	(2,849,863)	(6,272,372)	(5,202,830)	Not Available		
<b>Actual Total (Net)</b>	<b>2,612,934</b>	<b>2,261,798</b>	<b>4,874,732</b>	<b>2,864,715</b>	<b>Not Available</b>		

### Notes

- Outturn 2017/18 for SCDC and CCC includes budgeted and actual recharges, which were recovered through fee income. For the 2018/19 combined budgets and future forecasts overheads are not factored in as the authorities are reviewing how these appropriately feed into the shared services and they will be incorporated in future business case revisions.
- 2018-19 Budget Expenditure & Income figures include CCC shared budgets received at the start of 2018-19 financial year.
- Exact 2019-20 'Actual Expenditure (Gross)' & 'Actual Income' figures are not known at this point. However, the latest projected outturn, at the end of Quarter 3 reported a circa £0.7m net underspend in the service.
- 2019-20 Budget Expenditure & Income include the combined budgets of the shared service for SCDC and CCC.
- Recharges are excluded from the figures. The principles and basis of the recharges is currently work in progress and needs developing.
- The increase to costs and income budget from 20/21 reflects the inclusion of Business Operations team and costs (previously incorrectly treated as an overhead recharge) and CCC PPA income (previously accounted for only in CCC).

### Review of Budget 2019/20

The Planning service like all Council services operates within a complex environment. The service has a significant component of its operating budget determined by variable external "income" in the form of application fees for planning and related permission and charges levied for advice. This component of the budget is therefore subject to wider economic factors that impact confidence in the development sector – and is generally adversely impacted when confidence declines.

The City Council service budget has in recent years assumed significant increases in fee income year on year. Over the period 2015 to 2019, this has equated to a rise in income of some 60 plus percent that has not fully materialised. As a result, for 2019/20, the service is not expecting to achieve its planning application fee income target for the City Council area of £1.87m. Through the year, alongside vacancies, the service has sought to re-align costs including staffing where appropriate to reflect the re-deployment of some senior officers onto SCDC project such as the Wellcome Planning application and adjacent site appeal. Officers are working to determine whether this reassignment will be sufficient to offset the loss of fee income. For future years, the service will apply the draft Shared Service Agreement re-charge schedule – and work is underway to explain through this plan the consequences and choices arising for the Council's.

SCDC has at the same time has experienced a significant increase in fee income (above budget) – arising from the legacy of a greater number of speculative applications, a reduction in planning appeals (and contingency costs assumed) and several "unscheduled" significant planning applications. Pre-application income has also increased above budget. This reflects a transition that is anticipated in the spatial strategy - of new housing growth from sites in the city towards sites beyond the City boundary in South Cambridgeshire.

The net effect of the above is that whilst overall, the service appears to be operating within its joint budget there are material deviations from each Council budget position. [Note: Further work is underway to set the budget for the year ahead – data is not yet finished for this draft]

### **Future Years Budget**

The previous years' service plan sought to introduce a single budget, with costs and income split by reference to a "Memorandum of Understanding." A draft shared services agreement (and charges schedule) has now been agreed (September 2019) – to ensure that the assignment of costs and income is both transparent and related to the proportion of work performed for the two Councils – and officers are seeking to "build" 2020/21 budget on that basis. Given the uncertainty of Brexit [September 2019] (which is expected to suppress growth) and consequentially impacts on developer confidence, there remains a risk of a reduction in forecast fee income during the year ahead. Some contingency modelling has been undertaken to allow the service to understand the potential range of such impacts and to help inform consequential adjustments that may be required to the costs within the service. Whilst across the service there may appear to be sufficient scope to manage this potential impact, as recruitment activity continues (and vacancy rates fall) the imbalance will need careful management and monitoring.

This business plan (and last years) have sought to focus future year work programmes towards improved "cost recovery" in line with the original (2017) business plan objectives and the benefits from the services integration and business process re-design which are expected to allow improved productivity amongst staff.

### **Cost share**

The cost share between SCDC and CCC is proposed to be addressed through a shared services agreement (SSA). Feedback from the Member steering group in 2018 and the Corporate management team through 2019 has supported a more sophisticated approach to cost assignment than is deployed in other services – which operate to a common service model and more stable set of income/costs across the area. The SSA has been drafted and is awaiting completion but will assign the cost of the staff, projects and respective income and charges to the appropriate Council on a fair and transparent basis. In addition, given the unpredictability and potential spatial distribution of income and applications, the SSA will provide for a means to address the probable differences in income/cost that will arise – to enable the service to make the best use of "income" and resources in line with the strategic objective of improved resilience.

### **Inter Authority recharges**

[NOTE: Subject to ongoing discussion between partners] Section to be revised at conclusion of that discussion.] *Support service and other internal costs ("recharges") are not being used for the purposes of comparative costs in this business case. In common with other shared services, partner authorities apply a range of recharges across their services. Existing budgets (carried to 2019/20) apply these across the shared planning service based on historical patterns. By the end of 2019/20, the concepts and cost apportionment is expected to be reviewed for the Planning Service as part of a pan-authority project to ensure that the appropriate costs and recharges are applied to each shared service, and that the impact of residual and irrecoverable recharges in non-lead authorities is mitigated in time for 2020/21.*

### **Financial objectives**

The three-year budget proposed above reflects the changes being undertaken within the service – to increase cost recovery (and income) and to manage staff costs and improve the relationship between cost of service and charges – as well as improved efficiency of the systems and workflows that should allow greater productivity once the ICT solution is fully embedded. The service also expects to be able to service its policy development needs more effectively from within to reduce the external spend upon consultancy. This is shown as a cost reduction rather than an increase in income.

## **D. STAFFING OVERVIEW**

- Trends towards a younger workforce
- Trend towards part time working

- A balance of male/female staffing but an ongoing gender pay gap significantly influenced by the greater levels of part time working amongst females
- A reasonable balance of male/female managers across the service currently
- Limited number of staff who are disabled – below the national average – but with notes about the reliability and quality of data
- A representative workforce based upon ethnicity

### Commentary

Since spring 2018, all staff within the Service are employed by SCDC. During the summer of 2019, the service consulted on a comprehensive re-structure of the planning service – in preparation for the ICT roll out in Winter 2019/20 and the move towards new operational areas for Development Management. Most staff also moved to new career graded role profiles in line with the objectives for the service of promoting lifelong learning and professional development. There was a total of 139 posts within the “original” pre 2018 planning departments structures of the two Councils. The total number of posts created in the new structure is 121. The service has undertaken [6] rounds of recruitment through the year but continues to experience significant number of vacancies. In addition, the service has short term contractual arrangements with agency staff who are engaged in transitional work or supporting the shared service journey.

To tie in with the implementation of the new combined ICT system for development management, at the end of 2019-20/ early part of 2020-2021, the service is piloting using an external service provider, Terraquest to supplement in house capacity in terms of validation and development management. This will provide additional resilience during a key period of service change and help managers to manage workloads.

### Employee Working patterns

The table below (source SCDC data September 2019) details the number of current staff employed in the service and the breakdown male to female and full/part time. The rise in staff numbers in 2018 reflects the transfer via TUPE of several City staff to SCDC:

	Total employees	Total part time employees	Male part time employees	Percentage Male	Female part time employees	Percentage female
2014	51	5	0	0%	5	100%
2015	51	6	2 <sup>1</sup>	33%	4	67%
2016	51	2	0	0%	2	100%
2017	53	3	0	0%	3	100%
2018	92	19	1	5%	18	95%
2019	121	30	4	13%	26	87%

There has been a significant increase in the number of part time employees, which has changed from being 10% of the workforce in 2014, to 25% of the workforce by 2019. It is also noticeable that most employees who do work part time are female, and this has consistently been the case for the last six years. This impact upon the

male/female average earnings data below.

### Age Profile

	Average age of all employees	Average age of men	Average age of women	Difference (men - women)
2014	47.04	47.77	46.48	1.29
2015	46.9	46.71	47.07	-0.36
2016	43.35	44.33	42.66	1.67
2017	43.98	44.82	43.39	1.43
2018	43.63	43.2	43.91	-0.71
2019	44.78	44.39	45	-0.39
<b>Difference</b>	-2.26	-3.38	-1.48	-1.9

Overall the average age of the workforce has decreased over the six-year period, with the average age of men decreasing by nearly 2 years more than the average age of women. However, the average ages remain similar between the two genders.

The youngest female employee in 2014 was 27, and the oldest was 63. The youngest male employee was 32 and the oldest was 66. The youngest female employee in 2019 is 21 and the oldest is 76. The youngest male employee is 25 and the oldest is 70.

### Conclusions

The data on staff within the service is a snapshot of the current position. The data suggests nevertheless that the planning service has begun to embrace flexible working practices and provides broadly balanced opportunities for both male and females. The continued national shortages of experienced qualified staff and acute competition for staff with the experience that the Greater Cambridge Planning Service offers means that further investment and development of the staffing strategy is required through 2020 building upon the opportunities provided through the re-structure and new role profiles and career pathways that the structure has opened up.

### Staff Feedback

Through 2019, the SPS has undertaken a programme of staff engagement in preparation for and as part of the formal consultation around the future service structure. These sessions have sought to capture all staff and all grades – including some dedicated work with managers in late summer following the recruitment of the management team.

In addition, following concerns by managers and staff around recruitment and retention, in 2018 a dedicated project looking at benchmark salaries for staff and recruitment and retention issues was undertaken for the service by the HR team. The results of this work have also been fed back to staff and have underpinned the approach to the service re-structure (having regard to changes to role profiles and opportunities). The staff survey in August 2019 continues to highlight the continued value that working for the service provides staff – notably around purpose and the positive impact upon communities whilst also reflecting areas for improvement

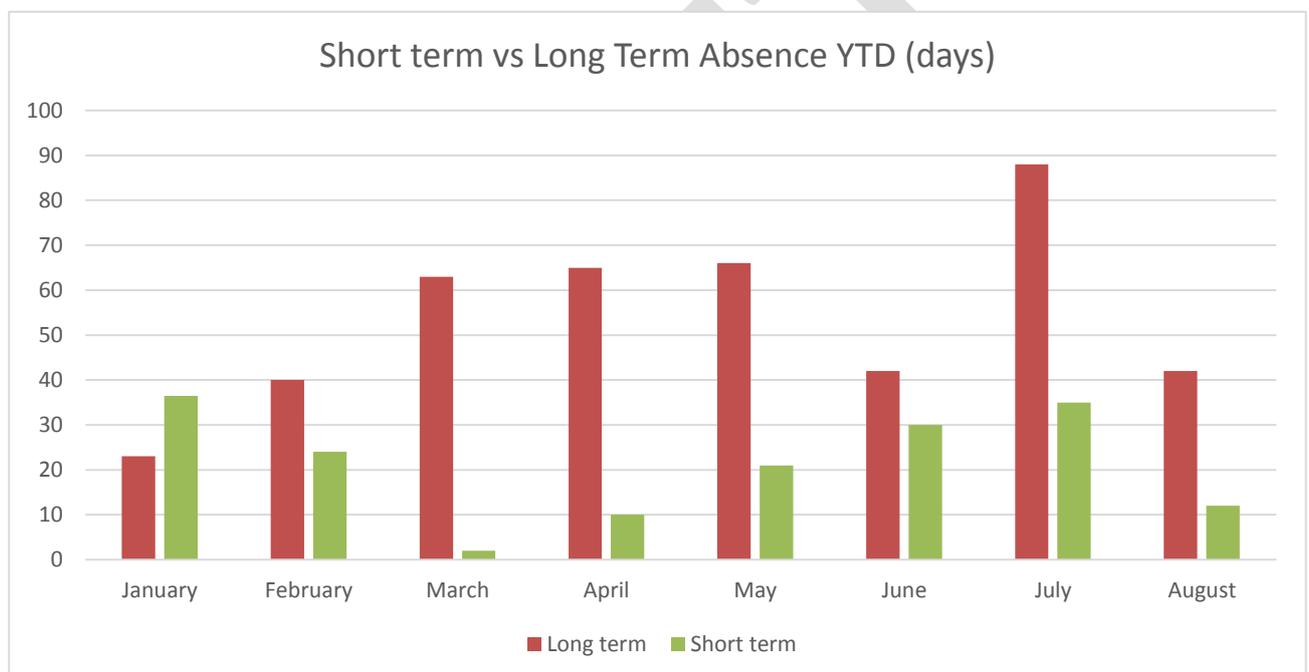
– centred around levels of support in the pressurised environment, the realisation of opportunities to grow in their career and the development of individuals through personal development plans and reviews.

### Future staff engagement

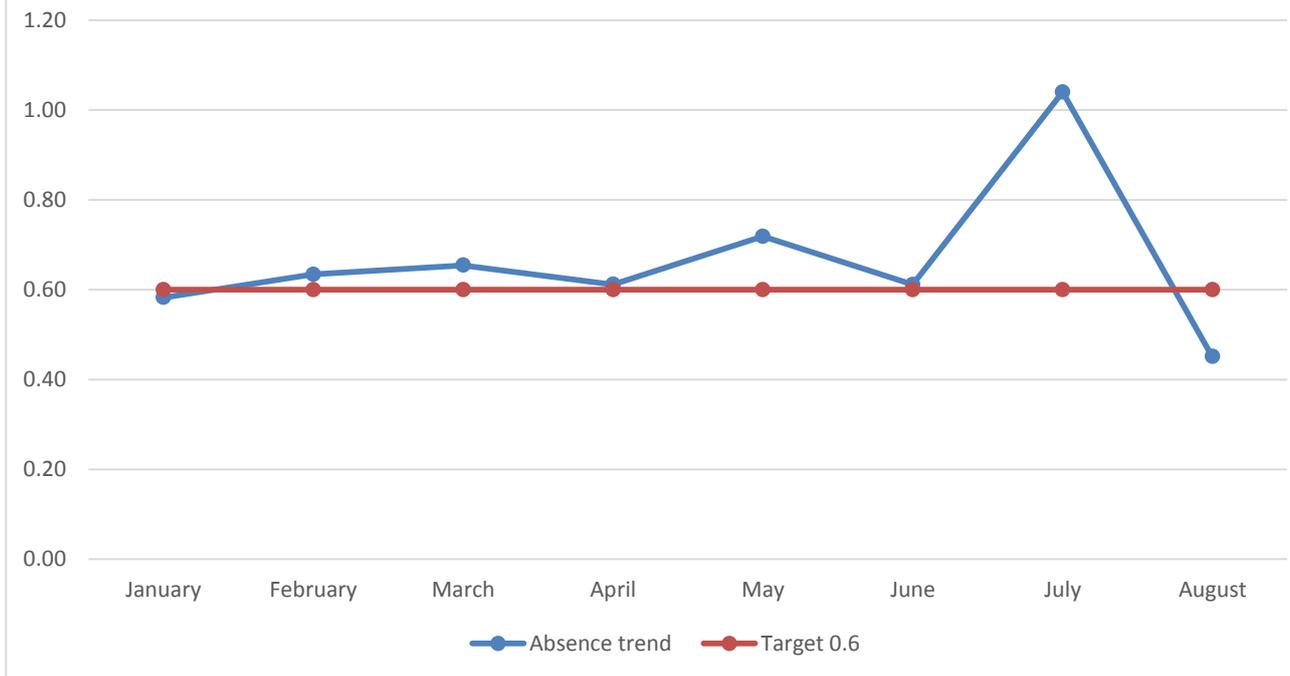
The shared planning service programme implementation board have established a dedicated workstream around “people” (see below). That programme is underway with a sponsor and funding and includes measures to promote staff engagement and participation in the design of the future service, as well as team and capacity building projects. The people programme is being overseen by the Operations Manager. Progress against the PID is reported monthly to the shared planning service programme board.

### Sickness

Over the last eight months the service has experienced higher levels of sickness absence, with consistently high numbers of long-term absence due to a small number of employees.



Absence trend vs target YTD



The spike in exceeding the corporate target in July 2019 is primarily due to four employees' long term sickness absences. Of these employees, two are no longer employed by the Council and one has returned to work. HR has continued to support the service in managing its absence rate.

## E. LOOKING BACK

The service has made considerable progress on the two core threads of work in the 2019/20 plan; progressing the implementation of the shared service project and, the delivery of several team specific operational outcomes.

### Shared Service Delivery

Following the implementation of phase 2 of the shared planning service in September 2019, the service is continuing to deliver the second phase of the programme which includes the substantial roll out of structures and integrated working, alongside a new ICT system. Progress against the project plan through 2019 has included:

- Consultation upon and implementation of new service wide structure and role profiles for all staff
- TUPE of all residual staff from City Council to new Structure
- Procurement and programmed Implementation of ICT solution with target "live" date by December 2019
- Re-design of implementation programme and appointment of new programme manager (secondment)
- A review of governance and creation of a Shared Service Board including members
- Preparation of the draft Shared Services Agreement covering structure and cost rules for SPS

Some areas of the project continue to be advanced and have been impacted by capacity within the team (and the impact of other operational work programmes). These include:

### Accommodation Review

Staff engagement has sought to identify the working issues with the two office bases. Whilst staff in both offices

regularly interact virtually and physically with each office, the practical and ICT implications of 2 site working are still being worked through. The accommodation review has seen a re-organisation of office space in Cambourne and Guildhall to introduce “hot desks” and further work has taken place in 2019 alongside ICT and communications investment and the successful rollout of “Council Anywhere” in the first quarter of 2019.

### **Workforce Strategy**

Significant work has been undertaken through 2018 and 2019 to both understand the “competitiveness” of the Council’s recruitment offer, and to seek to respond to feedback about the Council’s processes for recruitment, including enhancement to the “Package” available to existing and future staff. The service has also invested in improved guides and increased its promotion activities nationally to include conferences and Universities. The Phase 2 service design responded to feedback with a career grade and simplified posts allowing greater agility within the service to deploy and develop staff.

### **Branding**

This thread of work has been impacted by limited resource. A programme including creating a new shared email address and web site has been commenced but forms part of the project themes below.

## **Operational outcomes**

The previous year’s business plan included several delivery objectives based upon the emerging Delivery, Business Management and Strategy and Economy Teams. The majority of these have been successfully progressed including:

### **Strategy and Economy**

- Local Plan Issues and Options Consultation has been prepared.
- Cambridge North AAP Preferred option stage concluded
- Economic Growth strategy – underway
- Making Space for People SPD consultation undertaken
- Update of Biodiversity SPD
- Continue to support Neighbourhood planning
- Work with Combined Authority to support LIS, LTP and NSSF

### **Business Development**

- Recruitment of Operations Manager
- Development of a single service budget and oversee completion and operation of shared service agreement
- Develop and begin to implement a new centralized recruitment and retention programme to include a staff training/development programme
- Delivery of the Council Anywhere project across the service to make the most effective use of officers and premises and to allow improved customer contact and responsiveness
- Begin development of a member development programme and the review of the Committee protocols in SCDC and CCC
- Begin the development of a single, integrated customer complaint and resolution offer

### **Delivery**

- Progress the determination of major site strategic planning applications for:

- Waterbeach
- Bourn Airfield
- West Cambridge
- Darwin Green
- Wing
- Land North of Cherry Hinton
- Northstowe Phase 2
- Camborne West
- Support the City Council Housing Investment Partnership
- Implement a new single service wide ICT back office solution providing digital “paper free” application process capabilities to meet all statutory decision timeframes

## F. LOOKING FORWARD

The Shared Services Business Plan 2019 includes several workstreams that need to be carried forward into 2020. Given the existing delivery challenges and as the service builds upon implementation of phase 2 of the shared service programme, the service has introduced five programmes of work (see section below):

1. Customer and process
2. People
3. Legal, finance and funding
4. Service Design – Delivery
5. Service Design – Strategy and Economy

The Service is in the process of redefining this programme of work to better encompass all its major workstreams. The new programme structure is outlined below and when this re-scoping work is complete, by early March, section 2a of this plan will be updated to reflect the new projects:

1. Strategic Sites Delivery
2. Service Improvement
3. Business systems (Including ICT)
4. People / Workforce Development
5. Strategy and Economy
6. Built and Natural Environment
7. Business Development

To oversee the delivery of the programme, a new programme board and member operational board has been created, alongside Chief Executive Monitoring Group to ensure effective delivery of the overarching priorities for the objectives (above). In addition, the senior management team has identified a number of priority outcomes for the service within each of the service areas reflecting the positive contribution that the service seeks to make to both the place and to the organisations.

### Service specific outcomes

In addition to support for the above, each of the teams within the service will be responsible for the delivery of the range of outcomes listed below. These reflect the ongoing programmes of work to develop the service and to achieve the outcomes set out in the respective corporate plans for the two Councils. A detailed work plan for the service, based upon these headlines, will be used by the management team to monitor delivery.

### Strategy and Economy

#### Policy

- Progress Joint Local Plan progressed to “draft plan” stage
- Progress Cambridge North AAP Preferred option stage concluded
- Economic Growth strategy (and Brexit delivery plan) implemented
- Progress Spaces and Movement SPD
- Review Green Infrastructure evidence base and explore development of a natural capital framework
- Develop Zero Carbon Framework for greater Cambridge to inform Joint Local Plan
- Implement of new cost based resourcing understanding of policy work through timesheet system
- Review the case for CIL and prepare S106 supplementary guidance
- Continue to support Neighbourhood planning
- Influence and shape the strategies of strategic partners to ensure the efficient and effective realization of the two Council’s objectives through public and private sector investment

#### Economy

- Support both councils objectives in facilitating strategic economic prosperity and success through both delivering on corporate plan outcomes and growth related initiatives
- Create a business team with a single point of contact for business enquiries
- Establish a specialist single point of contact to support businesses through the planning process
- Identify gaps in the land and premises available for businesses across the district so these can be addressed in our next Local Plan to inform the local plan review

#### Built and Natural Environment Consultancy

- Complete the 4 Conservation Area appraisals and management plans commenced in 2019, and draft a strategy for the remainder and commence a further 4 appraisals/management plans.
- Establish a Building at Risk register - heritage assets which are at risk of neglect, decay or vulnerable to becoming so; with the aim of highlighting their plight initiating action towards their long term conservation, working with owners or prospective owners.
- Buildings of Local Interest – working with Parish Councils, establish a process for the designation of buildings of local interest ( architectural or historical interest but which do not meet criteria for listing), a project to be run in parallel with the Conservation Area Appraisals above.
- Consult and Adopt a Management Plan for a) Cambridge Historic Core CA and b) Romsey CA.
- Update 4 CA appraisals and management plans ( De Freville, Chesterton & Ferry Lane, Conduit Head Road and Trumpington)
- Complete review of design review process, and launch Design Review Panel (s) for Greater Cambridge.
- Carry out review of existing SPDs and establish a programme for their refresh e.g. Design Guide, any more Village Design Guides. Etc.
- Implement BNE business plan including full cost recovery of development support fees and develop offer to return commercial income generation through trading expertise with other public sector partners

#### Business Development

- Manage a single service budget and reports in line with shared service agreement
- Develop and implement a new centralized recruitment and retention programme to include a staff training/development programme
- Review and coordinate service wide procurement
- Optimisation of the use of Council Anywhere and 365 capability as an integral part of BAU
- Develop digital, technology and communications strategy and delivery of improved business outcomes though exploring systems approaches enabled by technology
- Explore option around alignment of technology platforms (i.e. Idox/Timesheets/Resource planning) to realise efficiencies including join up with 3C Building Control
- Implement improved customer/user engagement information and media including promoting improved understanding of the planning process

- Coordinate delivery of a member development programme and the review of the Committee protocols in SCDC and CCC
- Deliver a single, integrated customer complaint and resolution offer
- Provide a dedicated business support officer to assist businesses to engage more effectively with the planning service

#### **Delivery**

- Progress housing and infrastructure delivery on major site strategic planning applications for:
  - Waterbeach
  - Bourn Airfield
  - West Cambridge
  - Darwin Green
  - Wing
  - Land North of Cherry Hinton
  - Northstowe Phase 2 and 3
  - Camborne West
- Review pre-application and post application advice and project management capability within the service and introduce new fee schedule and service offer to improve cost recovery
- Continued support for the City Council Housing Investment Partnership
- Operate a digital “paper free” application process to meet all statutory decision timeframes
- Create a new, service wide, planning enforcement policy for consultation and adoption
- Alongside Planning Committee’s review existing schemes of delegation to ensure that it is transparent, fit for purpose and makes efficient use of the officer resources

**Risks and Threats:**

Risk description	Risk mitigation
<p>PROGRAMME RISK</p> <p>Proposed shared service arrangements and other change projects impact upon service delivery through a reduction in service focused capacity                      AMBER ●</p>	<ul style="list-style-type: none"> <li>• Effective communication strategy.</li> <li>• Secondments and promotion opportunities.</li> <li>• Effective recruitment practices with interim support as required.</li> <li>• Project management arrangements and new joint management team in place.</li> <li>• Organisational Development Strategy as part of wider corporate work streams.</li> <li>• Further work being done on recruitment practices/processes</li> <li>• Shared Service Board established.</li> </ul>
<p>PROGRAMME RISK</p> <p>Recruitment and Retention of appropriate skills to ensure delivery of corporate and service priorities                      AMBER ●</p>	<ul style="list-style-type: none"> <li>• Continued funded programme of professional development and corporate investment to retain staff.</li> <li>• Regular review of resourcing at management team.</li> <li>• Optimising opportunities formed by career grade progression scheme with HR to support staff retention.</li> <li>• Market supplement for hard to recruit posts in place.</li> <li>• Enhanced workforce management programme and high quality recruitment process.</li> <li>• Discussions to be held with staff, agencies and planning consultancies to improve recruitment strategy.</li> <li>• Digital footprint to be enhanced to improve profile and visibility of service</li> </ul>
<p>SERVICE RISK</p> <p>Timely delivery of Strategic Transport and other Infrastructure supporting growth                      GREEN ●</p>	<ul style="list-style-type: none"> <li>• Effective partnership working on GCP/CPCA schemes providing planning input in a timely way to support delivery of high-quality projects on time and on budget.</li> <li>• Effective input to LTP and major transport schemes at all stages of the planning and implementation process.</li> </ul>

	<ul style="list-style-type: none"> <li>• Securing financial contributions to strategic infrastructure through S106 contributions.</li> <li>• Effective programme management between schemes and infrastructure delivery.</li> </ul>
<p>SERVICE RISK</p> <p>Inadequate provision for Gypsy and Travellers and those not meeting new definition leads to significant unauthorised occupation of sites GREEN ●</p>	<ul style="list-style-type: none"> <li>• The Local Plan Inspectors concluded that this is an issue to be addressed through progressing new Joint Local Plan.</li> <li>• Provision to draw down resources to address enforcement service requirements.</li> </ul>
<p>SERVICE RISK</p> <p>National Planning Policy Changes impacting effective planning of the area GREEN ●</p>	<ul style="list-style-type: none"> <li>• Joined up approach between Planning and Housing teams to prepare for housing reforms including senior member briefings, discussions with RP's.</li> <li>• Identify opportunities for engagement with Planning Advisory Service (PAS) and CLG and subscriptions to TCPA and RTPi professional and practitioner networks on emerging planning threads to help service to anticipate change effectively.</li> <li>• Working with CA and through Policy planners network on Non-Statutory Spatial Plan to help shape future</li> </ul>
<p>SERVICE RISK</p> <p>Securing and retaining sufficient capacity and expertise to maintain delivery of Growth Sites AMBER ●</p>	<ul style="list-style-type: none"> <li>• Programme management resources to be put in place.</li> <li>• Pre-app scheme to be updated and more PPAs secured to enable greater resource flexibility.</li> <li>• Major Sites board set up.</li> </ul>
<p>SERVICE RISK</p> <p>Ensuring planned growth is supported by strategic plans and accompanying infrastructure investment GREEN ●</p>	<ul style="list-style-type: none"> <li>• Support GCP delivery programme to unlock planned growth</li> <li>• Engage with the Combined Authority and influence effectively the preparation of the non-statutory spatial plan, local transport plan and local industrial strategy.</li> <li>• Engage with the Network Rail and transport agencies on the Cambridge-Milton Keynes-Oxford-Arc.</li> <li>• Engage partners/agencies within sub region including LA's, LSCC, NIC etc.</li> </ul>

<p><b>SERVICE RISK</b></p> <p>Failure to meet Housing delivery test leading to unplanned development and inadequate housing to meet local need</p> <p>AMBER ●</p>	<ul style="list-style-type: none"> <li>• Develop effective systems within SPS to enable timely delivery of implementing planning decisions (e.g. high quality sustainable development).</li> <li>• Annual monitoring of delivery against housing trajectory in Annual Monitoring Report (AMR).</li> <li>• Tracking of outline planning permissions through to implementation.</li> <li>• Planning Performance Agreements (PPAs) in place for all strategic sites to set out agreed programmes and secure monies for staff.</li> <li>• Neighbourhood Planning Toolkit to enable parishes to shape and develop local housing and design polices reflecting local circumstances.</li> <li>• Ensure joint Local Plan services joint housing trajectory with Cambridge and agree with PINs method of 5 year supply calculation.</li> <li>• Tracking of delivery against Housing Delivery test.</li> </ul>
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**G. COMMUNICATION AND ENGAGEMENT**

Growing out from the two Councils, the service has begun a project to create a more coherent approach to communications (see below). The service supports delivery of the corporate plan objectives for SCDC and the City Council as set out (and consulted upon) annually through positive interaction with the respective communications teams.

The service is already:

- Participating in and lead formal and informal training events for staff and professionals, members, parishes and associated amenity bodies and the development community
- Preparing new material to underpin service promotion for recruitment and place recognition
- Having a presence in social media platforms including Linked in and You tube
- Encouraging staff chat groups through Whatsapp to help build a one team culture
- Presenting and contributing to “thought leadership” on planning and growth matters through conference attendance and media briefings
- Presenting the work of the service to CMT/SMT in the respective Councils
- Developing a single brand presence through new business cards, email address and promotional materials

Through the Business Plan and the organisational design/re-structure the service is also seeking to recognise and invest in improving user feedback and responsiveness – including managing the challenges of a flexible, increasingly part time and dispersed workforce and the rising expectations from customers for service delivery on line and in the field. This will require careful configuration of the ICT as well as a mobile enabled workforce using Council Anywhere and mobile telephones to effect delivery from anywhere.

**SECTION 2: OPERATIONAL PLAN 2019/20**

**SECTION 2A: BUSINESS PLAN PROJECTS (Note – to be updated to reflect new programme structure once work complete in March)**

	<b>Priorities for the service</b>	<b>State where these priorities are outlined (Corporate plans, strategies)</b>	<b>Actions that will deliver the priority</b>	<b>Outputs from the activity</b>	<b>Outcomes from the activity</b>
1	Customer and Process	The PIDs for these workstreams have been approved by the GCSP Board and form part of the strategy for the implementation of GCSP	Workflow and business process redesign Mobile communications roll out to frontline/operational staff Data and GIS migration and alignment across both Councils Implementation of new Enterprise software Improved customer feedback process User engagement on priorities for service	Enhanced and robust processes are in place for planning applications Ability to improve “self-service” through better case “tracking” Digital first allows agile/remote and flexible working Improved management information to ensure effective performance and output management Improved quality and effectiveness of advice services	Planning service makes better use of officer resource Fewer handling “errors” in application process Customers/interested parties are better informed and able to see progress of proposals for themselves. Improved performance management of the service and its outcomes Meeting customer needs with the right service offer
2	People	The PIDs for these workstreams have been approved by the GCSP Board and form part of the strategy for the implementation of GCSP	Review of recruitment material and package Review of recruitment and induction processes Development of professional and management training programme to support staff advancement and retention	Clearly defined recruitment offer is effective at filling roles Staff satisfaction with GCSPS as an employer improves Annual training and development programme	Improved ability to attract the best staff (including in hard to recruit areas) Reduced staff turnover Recognition/positive association of GCSPS as a “learning organisation” developing trainees and staff Highly developed and effective workforce able to bring forward high quality development

3	Legal, Finance and Funding	The PIDs for these workstreams have been approved by the GCSP Board and form part of the strategy for the implementation of GCSP	<p>Review and identify full cost of each staff member to Council</p> <p>Develop a system to record and reliably capture staff time spent on projects</p> <p>Revise discretionary charges schedule to reflect findings</p> <p>Shared Service Agreement to be drafted and signed</p>	<p>Accurate data on cost of delivery to assist budget planning and cost estimating</p> <p>Consistent and business-like approach to service provision</p> <p>Improved understanding of staff deployment (and capacity) to allow for effective workforce planning</p> <p>Effective recovery of costs associated with discretionary project-based work</p> <p>Shared Service Agreement including details of resource, budgets, scope, recharges, data sharing etc.</p>	<p>Improved management understanding and scrutiny of service budget</p> <p>New discretionary charge regime that reflects actual cost of delivery (and improved estimating for service users)</p> <p>Better staff deployment and reduced “over commitment” of staff to projects will help manage programme expectations</p> <p>Reduced cost of Planning service to partner Councils</p> <p>Shared Service governance in place and agreed by all parties</p>
4	Service Design - Delivery	The PIDs for these workstreams have been approved by the GCSP Board and form part of the strategy for the implementation of GCSP	<p>Improved ability to attract the best staff (including in hard to recruit areas)</p> <p>Reduced staff turnover</p> <p>Recognition/positive association of SPS as a “learning organisation” developing trainees and staff</p> <p>Highly developed and effective workforce able to bring forward high quality development</p>	<p>Single, integrated planning service with consistent service offer delivered across Greater Cambridge Geography</p>	<p>More efficient use of professional resources</p> <p>Retention of staff</p> <p>Increased customer satisfaction</p> <p>Quality decision making securing high quality development</p>

5	Service Design – Strategy & Economy	The PIDs for these workstreams have been approved by the GCSP Board and form part of the strategy for the implementation of GCSP	Improved ability to attract the best staff (including in hard to recruit areas) Reduced staff turnover Recognition/positive association of SPS as a “learning organisation” developing trainees and staff Highly developed and effective workforce able to bring forward high quality development	Single, integrated planning service with consistent service offer delivered across Greater Cambridge Geography	More efficient use of professional resources Retention of staff Increased customer satisfaction Quality decision making securing high quality development
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## SECTION 2B: SERVICE KEY PERFORMANCE INDICATORS

KPI	Performance Measures <i>(provide a list only - target information is included in section 4)</i>	Dependencies <i>(ICT, Finance, Human Resources, accommodation etc)</i>	Key risks to delivery <i>(include how these will be mitigated)</i>
KPI-1	Registration and validation (including consultation) completed within 5 days	UNIFORM management system, ICT	Peaks and Troughs in workload Mitigated by allocation of resources across whole service
KPI-2	Decision making within statutory or agreed timelines for major applications	UNIFORM management system, ICT	Peaks and Troughs in workload Other demands on Professional Team / Resources Mitigated by prioritisation
KPI-3	Decision making within statutory or agreed timelines for minor applications	UNIFORM management system, ICT	Peaks and Troughs in workload Other demands on Professional Team / Resources Mitigated by prioritisation
KPI-4	Decision making within statutory or agreed timelines for other applications	UNIFORM management system, ICT	Peaks and Troughs in workload Other demands on Professional Team / Resources Mitigated by prioritisation
KPI-5	Decision making within statutory or agreed timelines for all business applications	UNIFORM management system, ICT	Peaks and Troughs in workload Other demands on Professional Team / Resources Mitigated by prioritisation
KPI-6	Customer Satisfaction with 'Delivery' element of the service	Survey Monkey online survey, ICT	Resourcing in the team Capability of ICT systems to support service delivery Mitigated through prioritisation and effective staff deployment
KPI-7	Quality of determination - number of decisions overturned on appeal	UNIFORM management system, ICT	Peaks and Troughs in workload Mitigated by allocation of resources across whole service
KPI-8	Acceptance of recommendations at planning committees		Potential new cohort of councillors following CCC elections Mitigated through member training programme

KPI-9	Effectiveness of resident engagement	Survey Monkey online survey, ICT	Resourcing in the team Ability of ICT to support effective engagement  User / consultee resistance
KPI-10	Member satisfaction with Strategy and Economy engagement	Survey Monkey online survey, ICT	
KPI-11	Effective cost recovery of 'specialist consultancy' staff	ICT - time sheeting system	New system availability and capability. Resource to administer. Mitigated by working with ICT to source system and recruiting accountant whose responsibilities include supporting implementation and initial administration of system
KPI-12	Promoting and supporting staff development (Staff engaging with at least five days development activity a year)	Workforce HR system	Capacity / willingness for staff to engage Mitigated through consistent messaging and effective PDR process
KPI – 13	Properly resourced service (number of posts filled by permanent or fixed term staff)	Recruitment process, retention policies	Economic factors / strong competition for staff Mitigated through effective campaigns emphasising benefits of working for the service
KPI – 14	Improve staff retention (reduce staff turnover)	Line management capability, adequate resourcing	competition in employment market. High workloads. Mitigated through improving resourcing position, better staff engagement.

**SECTION 3: 2019/20 SERVICE DEVELOPMENT ACTIVITIES**

**SECTION 3A: SERVICE DEVELOPMENT OBJECTIVES**

**DEVELOPMENT OBJECTIVE**

<p><b>Development objective 1 – workforce development</b></p>	<p>Deliver a comprehensive recruitment, development and retention package for the workforce, to include all stages of the staff recruitment journey and a programme for development targeted at ensuring the service has the skills necessary to meet needs, including the ability to reduce consultancy spend on projects with in house expertise.</p>	<p><b>Describe the desired outcome – what will it look like when it has been achieved?</b></p>	<p>The service is effective at recruiting skills and expertise required and becomes recognised for its workforce management and development so that staff consistently rate the service as a good employer.</p>	<p><b>Lead officer</b></p>	<p><b>Steven Winsor</b></p>
<p><b>Is this a Project? (Yes/ No) and description</b></p>	<p>Yes - taking the benchmarking work, feedback from staff and applying best practice to our recruitment (process and material), induction (onboarding processes and material) and ongoing staff review and development processes (PDR) including exploring creating specific “development time” as part of the service and staff offer.</p>				
<p><b>Business Benefits</b></p>			<p><b>How will it be measured?</b></p>		
<p>1. Ability to compete with private sector and successfully recruit and retain expertise</p>			<p>No of vacant posts unfilled</p>		
<p>2.Reduced opportunity costs associated with high staff turnover</p>			<p>Staff satisfaction measures (annual survey)</p>		
<p>3.Greater staff satisfaction leading to improve productivity, customer feedback and wellbeing.</p>			<p>Staff turnover Service complaints upheld</p>		
<p><b>Outputs &amp; products</b></p>	<p><b>Resources</b></p>	<p><b>Responsible Officer</b></p>	<p><b>Target delivery date</b></p>		

Recruitment “pack” and process Induction “pack” and process PDR feedback	HR/Business Support/Project implementation officer time Training budget allocation increased (to £100K) Dedicated monthly development days	Steven Winsor	Dec 2019
<b>Key risks</b>	Lack of stakeholder support Staff participation not forthcoming due to workloads Lack of dedicated resource impacts upon delivery of outputs listed (induction/recruitment materials)		

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**DEVELOPMENT OBJECTIVE**

<p><b>Development objective 2 – Quality Planning service</b></p>	<p>Improved responsiveness to customers and improving the actual and perceived quality, accessibility, value and responsiveness of the planning service to users</p>	<p><b>Describe the desired outcome – what will it look like when it has been achieved?</b></p>	<p>Customers contacting the service for advice will receive prompt and high-quality responses to enquiries. Members/Managers will spend less time chasing up responses to queries Customers will feel more confident in the service.</p>	<p><b>Lead officer</b></p>	<p>Sharon Brown</p>
<p><b>Is this a Project? (Yes/ No) and description</b></p>	<p>Yes – the project has a series of threads including improved pre-application process, recognition of changing work patterns and the consequences and opportunities from Council Anywhere project. Alongside it is proposed to invest in new systems and processes (plus online resources) to increase on demand/self service and roll out of mobile phones to allow frontline officers to contact customers when out on site/stationed at offsite offices/home.</p>				
<p><b>Business Benefits</b></p>			<p><b>How will it be measured?</b></p>		
<p>1. Reduced failure demands (incl case escalation to senior manager)</p>	<p>Number of complaints received (and upheld)</p>				
<p>2. Improved efficiency and workflow throughput</p>	<p>Average end to end processing times</p>				
<p>3. Improved outcomes for applicants (applications approved)</p>	<p><i>Application approval rates by category</i></p>				
<p>4. Effective use of scarce resources</p>	<p><i>On hand and cases per officer data plus end to end times (above)</i></p>				
<p><b>Outputs &amp; products</b></p>	<p><b>Resources</b></p>	<p><b>Responsible Officer</b></p>	<p><b>Target delivery date</b></p>		
<p>New online web-based tools and information New Mobile enabled frontline staff (Council Anywhere)</p>	<p>Council Anywhere (Corporate investment) Mobile Phone roll out (£17,020)</p>	<p>Cat Quy (TBC)</p>	<p>May 2019 Nov 2019</p>		
<p><b>Key risks</b></p>	<p>Rollout of Council Anywhere and mobile technology delayed by ICT capability Inadequate staff resource to deliver website information User acceptance of shift to online advice prevents introduction Associated projects (pre-application advice review) is delayed.</p>				

## DEVELOPMENT OBJECTIVE

<b>Development objective 3 – Effective staff deployment and cost recovery</b>	Improving the procurement, deployment and cost recovery of specialist staff within the planning service to underpin policy and project delivery priorities at lower cost.	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	The skills and abilities of team members are used to undertake professional work for internal and external public sector clients and thereby reduce net costs on the service and Council	<b>Lead officer</b>	Paul Frainer
<b>Is this a Project? (Yes/ No) and description</b>	Yes – the planning service spends a significant sum (£300K) each year on consultancy services to underpin projects, in addition to commissioning further external advice through planning performance agreements with applicants on areas such as landscape appraisal, urban design, graphics and policy development. The service possesses some of these capabilities in house (and needs to recruit to vacant posts). The project will improve the management and costing/recharging within the service, and promoting an internal first				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Improved capability within the service to deliver high quality outcomes through the planning process with expert resources at lower cost			Consultancy spend on planning programme is reduced		
2. Effective task and workload planning means that “cost recovery” within the service improves to reduce net cost of delivering policy and planning outcomes			Reduced net cost of SPS to the Councils		
3. More effective staff management provides for additional work opportunities beyond greater Cambridge, and makes working for GCSPS more rewarding for staff			Additional income to the Council		
<b>Outputs &amp; products</b>		<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>

<p>Clearly defined cost for each staff members  Improved understanding of project costs and staff deployment  Improved “estimating” for future work leading to better management of specialist resources (and workloads)  A defined “service offer” for third party LA’s looking to “buy” services  Improved project commissioning and planning is possible – with true costs identified.</p>	<p>Professional staff within SPS  Business Development Team to manage invoicing etc  New financial management and time recording systems</p>	<p>Steven Winsor / Cat Guy</p>	<p>March 2020</p>
<p><b>Key risks</b></p>	<p>Insufficient capacity within service and staff to participate in the learning and system development  Inability to recruit specialist staff to key posts  Market collapse prompts fall off in service demands</p>		

### SECTION 3B: SUMMARY OF SERVICE DEVELOPMENT OBJECTIVES

Service Ref No:	Service Objective and Outcome plus links to partnership objectives, relevant strategies and plans ( <i>i.e. what do we want to achieve and why are we doing it?</i> )	Lead Officer(s)
1 – Workforce development	The establishment of a motivated, unified, happy and effective workforce is imperative in a service that relies upon its “intellectual capital” to deliver project outcomes.	Steven Winsor
2 – Quality Planning Service	In recent years the Planning service has experienced increased negative customer feedback and complaints. Investing in improving the customer/user experience – whether for advice or as an applicant seeking to bring forward a project is imperative if the service and members are to rebuild confidence in our ability to manage change and growth effectively. Key to this is communication and information.	Sharon Brown
3 – Effective staff deployment and cost recovery	This is a key objective for the future – to ensure that we properly account for and recover where possible to costs of delivering project, or advice or services to others in line with the objective of maintaining our capabilities (to deliver high quality development on behalf of communities) at lower net cost.	Paul Frainer

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## SECTION 4: KEY PERFORMANCE INDICATORS (KPIs)

### Organisational, Service and Corporate Plan Performance Indicators

The table below should list organisational performance indicators (KPIs) applying to the service, key PIs from the action plan in section 2A and any PIs from partners' Corporate Plans that this Service is responsible for reporting against.

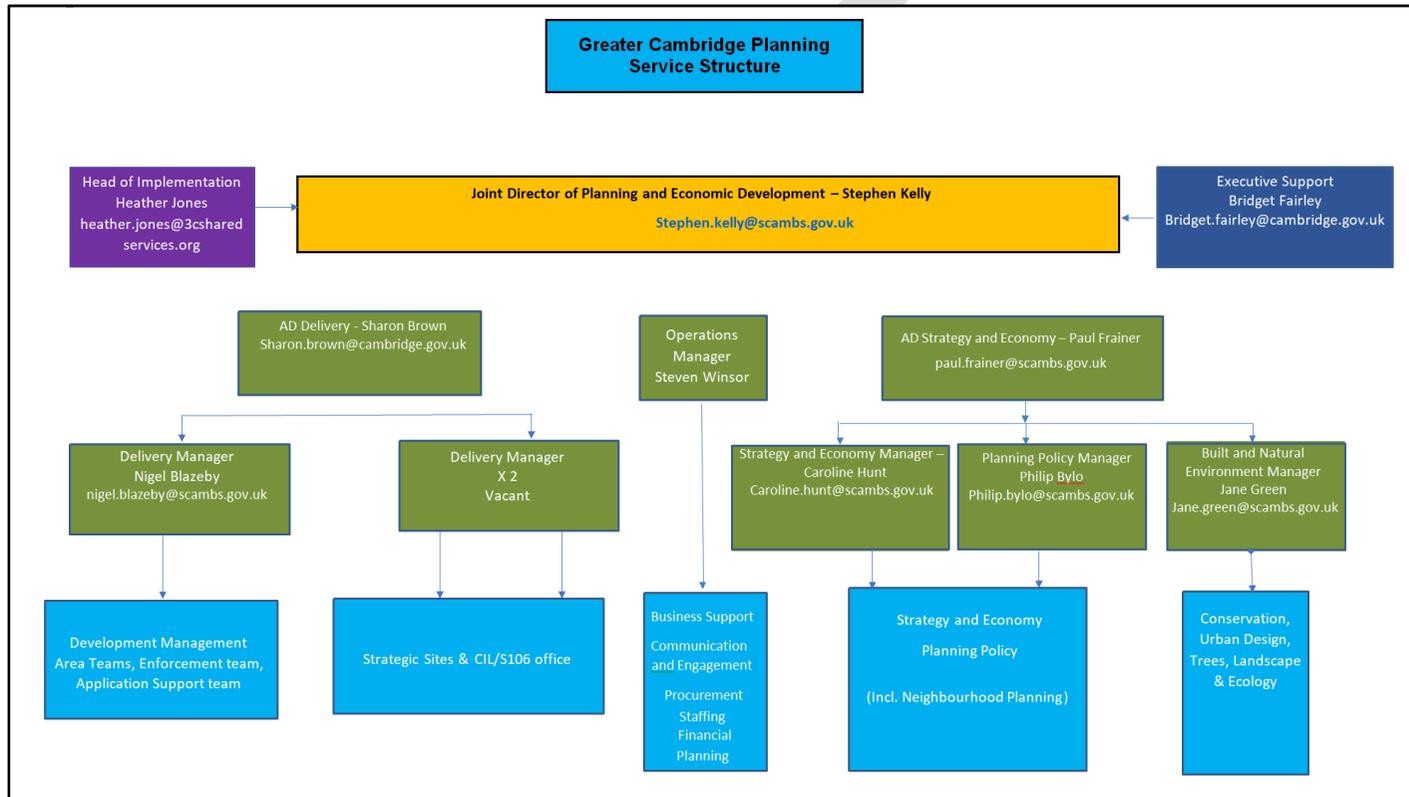
KPI Reference and Description		Reporting frequency	2019/20 YTD Apr - Nov	2020/21 Target (Interim)
<b>Key Service PIs (to be selected from the action plan at section 2B)</b>				
KPI-1	Registration and validation (including consultation) completed within 5 days	Monthly	57%	90%
KPI-2	Decision making within statutory or agreed timelines for major applications	Monthly	73%	70% (65%)
KPI-3	Decision making within statutory or agreed timelines for minor applications	Monthly	65%	80%
KPI-4	Decision making within statutory or agreed timelines for other applications	Monthly	73%	80%
KPI-5	Decision making within statutory or agreed timelines for all business applications	Monthly	67	90% (75%)
KPI-6	Customer Satisfaction with 'Delivery' element of the service	Monthly	New KPI – in development	70%
KPI-7	Quality of determination - number of decisions overturned on appeal	monthly	New KPI – in development	10%
KPI - 8	Acceptance of recommendations at planning committees	monthly	New KPI – in development	90%
KPI – 9	Effectiveness of resident engagement	Quarterly	New KPI – in development	10% increase
KPI- 10	Member satisfaction with Strategy and Economy engagement	Quarterly	New KPI – in development	70%

KPI-11	Effective cost recovery of 'specialist consultancy' staff	Monthly	New KPI – in development	50%
KPI – 12	Promoting and supporting staff development (Staff engaging with at least five days development activity a year)	Monthly	New KPI – in development	90% of staff with 5 days development
KPI - 13	Properly resourced service (number of posts filled by permanent or fixed term staff)	Monthly	New KPI – in development	90%
KPI – 14	Improve staff retention (Reduce staff turnover)	Monthly	New KPI – in development	10% reduction

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# Appendix 1

## Service management structure



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**INTERNAL AUDIT  
BUSINESS PLAN FOR SHARED SERVICE  
2020/21**

Service Leads		
<b>Head of Shared Service</b>	Jonathan Tully	
	<b>Cambridge City Council</b>	<b>South Cambridgeshire District Council</b>
<b>Director of Shared Service</b>	Fiona Bryant	Mike Hill
<b>Lead Councillor</b>	Cllr Robertson	Cllr Williams

APPROVED BY	Status	Date
<b>Steering Group</b>	NA	NA
<b>Management Board</b>	Complete	07/10/19
<b>Joint Leaders and CEX Group</b>	Complete	
<b>Cambridge City Council</b> [ <i>Executive Councillor and Scrutiny Committee</i> ]		
<b>Huntingdonshire District Council Cabinet</b>	NA	NA
<b>South Cambridgeshire District Council Cabinet</b>		

Reporting timetable	
<p>Progress reports on Business Plan implementation and progress against key measures will be monitored at the quarterly Member Steering Groups and subsequently Management Board meetings. Quarter 2 and end of year performance will be submitted to the Joint Leaders and CEX Group. The Annual Report and draft Business and Finance Plans will feed into the corporate planning / MTFS cycles in July and January each year.</p> <p>Progress updates in quarterly reports will inform the preparation of annual reports, to be submitted to the partners' decision-making bodies in <i>March 2020</i> as part of the strategic review process set out in Schedule 2 to the Partnership Agreement.</p>	
<b>Version</b>	<b>Date</b>
<b>Draft 0.3</b>	<b>09/01/2020</b>

## SECTION 1: CONTEXT AND OVERVIEW

### A. PURPOSE OF THIS DOCUMENT

This is the Business Plan for the Internal Audit Service, part of Greater Cambridge Shared Services, for 2020/21. It describes how the shared service arrangement will be delivered to ensure objectives are achieved and business benefits are realised within a robust governance framework and in the context of the partner councils' corporate plans.

The following objectives have been agreed:

- Protection of services which support the delivery of the wider policy objectives of each Council.
- Creation of services that are genuinely shared between the relevant councils with those councils sharing the risks and benefits whilst having in place a robust model to control the operation and direction of the service.
- Savings through reduced management costs and economies of scale.
- Increased resilience and retention of staff.
- Minimise the bureaucracy involved in operating the shared service.
- Opportunities to generate additional income, where appropriate.
- Procurement and purchasing efficiencies.
- Sharing of specialist roles which individually, are not viable in the long-term.

### B. DESCRIPTION OF THE SERVICE

#### Description & Functions of the Shared Internal Audit Service (SIAS)

The role of internal audit is to provide independent assurance that an organisation's risk management, governance and internal control processes are operating effectively.

The detailed role of Internal Audit is set out in the Internal Audit Charter which is [approved annually](#) by each partner's relevant Audit Committee. To successfully act as a key business partner, internal audit teams need to be fit for purpose and provide assurance of the necessary quality, depth and coverage.

The key service objective is to provide assurance on each Council's control environment, and will include the following functions:

- preparation and delivery of audit plans to each Council that are reflective of their strategic plans, objectives, and the risks to their achievement;
- providing an annual opinion on the adequacy and effectiveness of the Council's control environment and which may be used as a key assurance source when drafting the Annual Governance Statement;
- communicating with stakeholders, in a timely and appropriate manner, the results of work undertaken;
- considering whether operational and management arrangements are delivering the most economical, effective and efficient use of resources; and
- providing support and advice on new developments, policy initiatives, programmes, projects and emerging risks

Additional functions of the SIAS are to:

- facilitate, and provide evidence, for the Annual Governance Statement, which is a summary of

how the Council complies with its Local Code of Governance;

- working with the external auditors, where appropriate, to provide assurance over core financial systems;
- lead on aspects of the Councils approach to anti-fraud and corruption, such as strategy, policy update, reporting and completing data analytics. The SIAS is the key contact for the National Fraud Initiative, an annual exercise to proactively detect potential fraud and error. This was not included in the original business case for SIAS and is an additional piece of work.

### **Service Model**

The team currently operates from the two main sites (Cambridge City Guildhall and South Cambridgeshire Hall), although they may work from any Council site where a review is relevant.

Historically the service model was based around two separate teams, with a shared management. Whilst this enabled an amount of shared knowledge, it was not integrated. Consequently, there are different processes within each site. Establishing a centralised team, which operates from both sites, will enable economies of scale and smarter ways of working.

An agile continuous risk-based plan is developed, in consultation with management, to help ensure that work reflects both corporate priorities and corporate risks. The details of the plan are then presented to each Councils Chief Executive and the relevant audit committee for approval at least annually. The plan is designed to be flexible, so that work can be re-prioritised in response to the continually changing risk environment. This approach helps to ensure that the scarce resources are allocated in such a way that they add the most value to the Councils.

Adequately resourcing the team, and having an established brand, are both important factors for delivering the service model. Recruitment, and marketing the team, has been documented in Section 2 – Operational Plan, and Section 3 – Service Development Objectives.

The original vision for the service is included in Appendix A.

## C. FINANCIAL OVERVIEW

The Shared Internal Audit Service is a support service, with costs charged to both Councils. The risk-based Audit Plan identifies the resource requirements for both Councils. The budget for the team is predominantly spent on resourcing, which is 87% of annual costs.

The current budget for the service can be analysed as:

Activity	Outturn 18/19	Budget 19/20	Forecast 19/20	Forecast 20/21	Forecast 21/22	Forecast 22/23
Staff costs <sup>1</sup>	250,371	296,300	296,426	305,319	314,479	323,913
Other operational costs <sup>2</sup>	7,402	13,370	10,679	13,370	13,370	13,370
Corporate support costs and recharges <sup>3</sup>	30,800	31,770	31,741	32,693	33,674	34,684
<b>Total costs</b>	<b>288,574</b>	<b>341,440</b>	<b>338,847</b>	<b>351,383</b>	<b>361,523</b>	<b>371,968</b>
Cambridge City Council	223,350	215,960	215,960	221,371	227,759	234,340
South Cambridgeshire DC	65,224	125,480	125,480	130,012	133,763	137,628

1. Staff costs are predominantly the salary, NIC and pension costs of the team, and agency workers.
2. Other operational costs include transport, professional costs, training and development, and IT.
3. Corporate Support costs and recharges include overheads for buildings and administrative costs.

Analysis of previous years plans (before shared services) illustrated that the total volume of work (number of days delivered) has been split approximately 75% CCC and 25% SCDC. This formed the basis for the 2018/19 audit plan. The planning process, which is consulted with and approved by the Audit Committee, recognised an increased in demand of work at SCDC, and the 2019/20 plan was increased. This is reflected in both the budget and the revised split of 63% CCC and 37% SCDC for future years. For example, there has been additional demand to support activities such as the National Fraud Initiative and ISO accreditation, which were not included in the original Business Case, plus increased resources to support the Annual Governance Statement and Local Code of Governance. This was anticipated and noted in the previous year's 2018/19 Business Plan. The Internal Audit Plan resource requirement at CCC is comparable with previous years.

The audit plan is dynamic, is regularly reviewed, and includes a contingency for unplanned work. If, however, there is a significant change in demand this would need to be accounted for accordingly, and budgets would be revised. The resource requirements for the combined audit plan are budgeted to be the same over the medium term. If the audit plan changes, this will potentially impact the budget, but it should not be material. The budget is reviewed annually, with the audit plan, and adjusted for inflation and other costs. A simple 3% increase has been applied to long term forecasting.

Over the longer term the team aims to market services externally to generate additional income. Costs would potentially increase, with balancing income generation, as the resource need will also increase. Although not a critical success factor, it could provide improved resilience and efficiencies for the two Councils, as the team develops, and help to deliver the vision.

## D. STAFFING OVERVIEW

Cambridge City Council is the employing authority. The SIAS is a relatively small team, and consequently changes to the establishment can have a significant impact on both the budget and resources of the team. The current establishment, as reflected in the 2020/21 budget, comprises:

Role	Grade	Count	FTE	Comment
Head of Shared Internal Audit	10	1	1.00	
Principal Auditor	7	1	1.00	Vacant
Senior Internal Auditor	6	4	3.52	Mixture of substantive and agency workers
Assistant Auditor	4	1	0.76	

When calculating how to resource Internal Audit Teams there are various factors to consider. It should reflect the risk environment of the organisation, which in turn informs our annual plan. The risk appetite, and subsequent resource need, will change over time according to the risk profile of the Councils. For example, undertaking new alternative delivery models and organisational change can increase risk and would require more assurance, whereas implementing smarter controls and effective management may reduce risk and consequently the resource need for independent review. It is therefore appropriate to consider whether the team is adequately resourced when compiling the annual plan. Adopting a risk-based approach to work enables us to work in an agile way, to best meet the needs of our customers.

One of the benefits of providing services to multiple customers is that the SIAS has increased insight, can share good practice, and help to drive change. It is important that we adequately resource the team, with a comprehensive range of skills, to maximise this opportunity in the future. This enables us to deliver both assurance and consultancy work which add value, such as participation in project and governance groups, active development of governance risk and control, and positively drive transformational change.

As highlighted above, the significant costs are staff resourcing, and both Councils have made significant savings by sharing the Head of Internal Audit role.

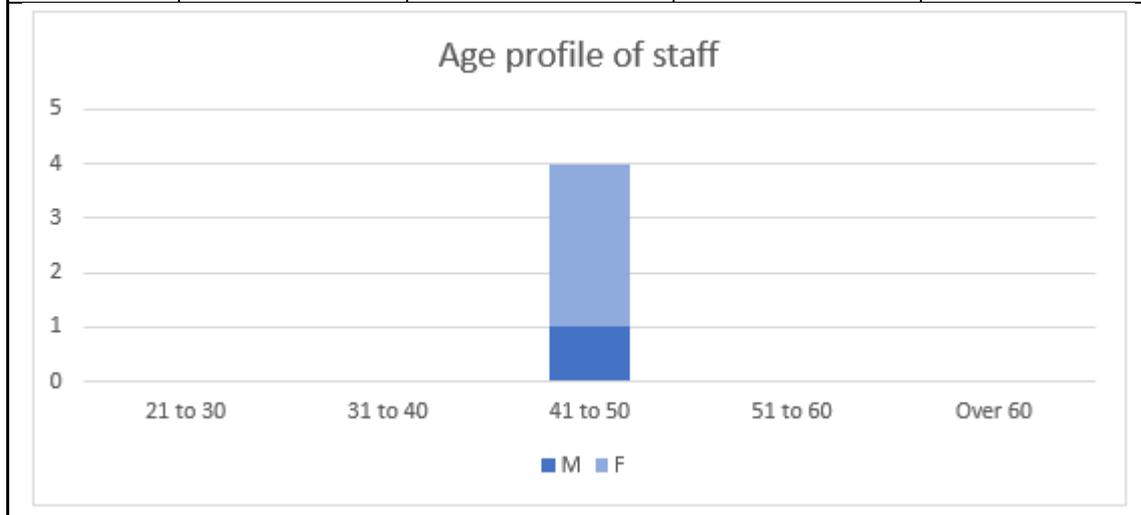
The resource calculation for the short to medium term is anticipated to be remain constant. It has been challenging to recruit to the vacant posts, which is mitigated by utilising agency workers. This is not ideal, although it enables us to source people with relevant expertise for targeted pieces of work (e.g. risk management, housing) whereas a substantive employee may have a more general skill set. The residual challenge, however, is to manage the increased cost of agency workers, versus the resilience of having a fully resourced team. The vacant Principal Auditor post has helped the service to stay within budget, within the short term. The recent PSIAS assessment highlighted the importance of recruiting to the Principal Auditor role, to provide resilience and to develop the team over the longer term and recommended exploring the use of apprenticeships once the new Institute of Internal Auditors scheme is established.

All members of the team can work at both sites, with their skills and capabilities being used where it is most effective. The current aim is to have a team with a variety of complementary skills and capabilities, and to offer opportunities for continuous professional development.

### **Age demographic**

The average age of the substantive employees in the team is 45. The majority of the team posts consist of professionally qualified and experienced roles, and typically this will increase the average age of the team. There is scope and potential to recruit younger people, potentially as part of an apprenticeship or internal development program:

Year	Average age of all employees	Average age of men	Average age of women	Difference (men - women)
2019	45	41	46	5



### **Equality**

All recruitment adheres to the employing Council policy to ensure all applicants are treated fairly. Our recruitment and selection process meet the requirement of the Equal Opportunities Employment Policy, the Equality Act 2010 and all other relevant employment legislation.

### **Flexibility**

We are continually reviewing our working arrangements to ensure they are the most appropriate for the SIAS and our customers. We support remote and flexible working arrangements and encourage smart working and effective utilisation of technology. Fifty percent of the substantive team have flexible part-time working arrangements. We work regularly across all sites to maintain an effective presence and develop our profile. We also aim to avoid unnecessary travel to help reduce costs and the environmental impact to the Councils.

### **Conclusion**

The Internal Audit team is a small team with only 7 posts comprising a mixture of full and part-time employees. The nature of the roles offers a reasonable amount of flexibility, with a mixture of full and part-time posts working across multiple locations. There is scope and potential to recruit younger people, potentially as part of the apprenticeship. Over the longer term the team aims to become commercial and provide services beyond the two Councils, and additional resource may be required in the team to achieve this.

## E. LOOKING BACK

There were two main drivers behind the decision to consider setting up the SIAS:

- CCC and SCDC desire to have a strong business focussed leadership model, in line with other shared services, to lead the shared Internal Audit Service across the two Councils.
- Bringing together the professional discipline of internal audit into one team, provides the opportunity to deliver a more resilient and responsive service that would allow internal audit work to be carried out seamlessly and without boundaries across the two Councils.

The SIAS has had a positive year, with both successes and continuing challenges. Our main challenges include:

- difficulties recruiting into vacant posts;
- delays in completing external audit work has a consequential impact on our internal governance work;

These challenges were recognised as potential risks in the business case and have been managed.

We have also had several positive achievements over the last 12 months, and have:

- delivered joint audit work at both sites, enabling economies of scale, plus shared learning and development for both our customers;
- reviewed and changed a significant number of internal working practices, to improve the quality and efficiency of the team;
- successfully maintained our compliance with the accredited Public Sector Internal Audit Standards, and Local Government Application Note, which is a rigorous assessment to demonstrate our compliance with professional standards;
- developed our approach to longer term external delivered assurance work for the trading company Ermine Street Housing;
- developed an embedded assurance framework to help the Greater Cambridge Shared Waster Service maintain their accreditation for ISO9001 and ISO14001;
- developed our brand across both Councils by actively participating in the organisation so that we have the relevant insight to add value, and reviewing our communications channels such as developing our internal audit web-pages;
- developed a new framework for action-tracking to provide assurance that planned improvements in the internal control environment is being delivered;
- actively worked with audit committees to develop their knowledge and improve their effectiveness to support the governance framework;
- been early adopters of Council Anywhere equipment and have already adapted to smarter ways of working;
- completed data quality assurance and managed data collection for the Cabinet Office's National Fraud Initiative, which was not included in the original business plan; and
- continued to deliver the core work, audit plan, Annual Governance Statement and providing supporting and assurance on key projects.

## F. LOOKING FORWARD

Looking forward, to develop the SIAS, we maintain an immediate short-term plan (looking at immediate years 1 – 2), and a longer-term plan (years 2 – 5), which informs our strategy. This enables us to align our objectives to the organisation and have a road map based on the CCC/SCDC overall strategy, stakeholder expectations, regulatory requirements and the role of the other risk functions. The outcome of this approach, and key activities, is detailed below. This strategy provides a focus for the team, and the Shared Services Board. Years 3 – 5 will need to be adaptable, to ensure the strategy remains relevant, and will be updated in future business plans.

### **Short term plan**

The immediate focus in our short-term plan includes:

Resources	Recruitment of staff, to substantively fill vacant positions, will help establish the team as an adequately resourced shared service, with team members working across both sites.
Brand awareness	It will be important to continue marketing the new team, so that our customers understand that the SIAS has been set up and can be utilised to support projects and add value. Both CCC and SCDC have internal intranet pages. A detailed review will be completed to promote the SIAS.
Quality Assurance and Improvement Program	Internal Audit teams must follow Public Sector Internal Audit Standards (PSIAS), and the sectorial Local Government Application Note. We successfully passed an external assessment in 2018/19. Being able to demonstrate compliance with the standards is a fundamental requirement when marketing the service externally. The PSIAS action plan is regularly updated, via an internal health check, and we will continue to implement improvements throughout 2020/21, and we aim to be a modern and effective Internal Audit Service.
Governance	The team will work with key officers and stakeholders to ensure that the SIAS is providing relevant assurance for the AGS, by mapping assurance sources and driving improvements to the Local Code of Governance. In addition, the team will help to facilitate workshops to review the format of the AGS to ensure it is effective for its customers.

**Longer term strategy**

2020/21 to 2022/23 will be an opportunity for the team to build upon the short-term plan, and develop the activities of the SIAS, which can help to achieve resilience and generate potential revenue.

Develop real time risk assessments	<p>An annual risk assessment is no longer enough if internal audit wants to remain relevant to its customers. To ensure that the audit plans are adding value we will develop a real time-based risk analysis which supports a dynamic and agile audit plan. This will enable us to provide a customer focussed approach, whilst ensuring that our resources continue to be allocated effectively.</p> <p>In addition, the team will develop a data analytics program that can be embedded into the entire audit life cycle. Using analytics can produce more focused risk assessments, more efficient execution, increased risk coverage and more effective reporting.</p>
Other assurance activities	<p>One of the benefits of providing services to more than one customer is that the SIAS can share good practice. We will consider other assurance activities where the SIAS can objectively add value, such as participation in project and governance groups, and promote this as further good practice and positively contribute to transformational change.</p>
Brand awareness	<p>It is important to promote the brand externally, and marketing material under the "Greater Cambridge" brand will be developed further, such as an external web presence, to reach new customers.</p>
Resources	<p>The resources of the team will need to be continually reviewed, with potential investment to compete commercially. This could include additional recruitment, training and development.</p>
Commercial activities	<p>Our main focus is to provide a quality service for our existing customers. Where an opportunity becomes available, with the potential to add value and resilience to our existing shared service, we will develop proposals to evaluate the commercial activity and opportunity for income generation. The SIAS will complete ongoing market analysis to identify the potential customers.</p>

<b>RISKS AND THREATS</b>	
<b>Risk Description</b>	<b>Risk Mitigations</b>
<p>1 Not maintaining the skills and experience to undertake audits on increasingly complex areas. This could result in:</p> <ul style="list-style-type: none"> <li>• Failure to identify a significant issue</li> <li>• Inability to provide assurance</li> <li>• Reliance on consultants who do not have the Authority's best interests at heart</li> </ul>	<ul style="list-style-type: none"> <li>• Attending briefings for staff and managers.</li> <li>• Building relations with other local authorities / networking.</li> <li>• Cascade of knowledge and skills to minimise key person dependency.</li> <li>• Close relationships with Heads of Service.</li> <li>• Institute publications / forums reviewed.</li> <li>• Internet research</li> <li>• Performance review process.</li> </ul>
<p>2 Exceptional demand for unplanned work (special investigations / consultancy) and / or resource issues (inability to recruit) could result in:</p> <ul style="list-style-type: none"> <li>• Not providing the agreed level of assurance to the Authority</li> <li>• A fraud goes undetected</li> <li>• Control failings are not picked up</li> <li>• Reputational risk</li> </ul>	<ul style="list-style-type: none"> <li>• Performance management framework and regular 121s</li> <li>• Protocol for updates and re-profiling the plan with the relevant Audit Committee.</li> <li>• Regular monitoring of the audit plan.</li> <li>• Time recording system</li> <li>• Performance management system</li> <li>• Utilisation of agency workers</li> </ul>
<p>3 Audit Plan is not aligned with the Council's Risks. If the Council does not engage with internal audit, and does not keep its risks register up to date, this could result in:</p> <ul style="list-style-type: none"> <li>• Not providing assurance in the right areas</li> <li>• Significant control failures not picked up</li> <li>• Audit are not perceived to be adding value to the Authority</li> </ul>	<ul style="list-style-type: none"> <li>• In year 'Radar" reporting and horizon scanning by audit team.</li> <li>• Linking the Audit Plan to the Risk Register.</li> <li>• Maintaining good relations with Heads of Service.</li> <li>• Regular review of customers Risk Registers (Corporate / Service and Project).</li> </ul>
<p>4 Compromise to Internal Audit's independence.</p> <ul style="list-style-type: none"> <li>• Over involvement in non-audit work could result in an ethical compromise.</li> <li>• Conversely, not being involved in key projects could reduce the quality of our assurance work.</li> </ul>	<p>It is important to maintain the right ethical balance, and this is achieved by:</p> <ul style="list-style-type: none"> <li>• Declaration of Interests.</li> <li>• Having clarity in what our role is. Regular review of the Internal Audit Charter.</li> <li>• Having knowledge of the escalation process if Internal Audit advice not taken. Training</li> </ul>

<b>RISKS AND THREATS</b>	
<b>Risk Description</b>	<b>Risk Mitigations</b>
<p>5 Ineffective working relationship with External Audit.</p> <p>This could result in:</p> <ul style="list-style-type: none"> <li>• Impact on work load and audit plan</li> <li>• Poor working relations</li> <li>• Duplication of audit work</li> <li>• Repetition and delay to the Annual Governance Statement</li> </ul>	<ul style="list-style-type: none"> <li>• Consultation over internal audit plan</li> <li>• Regular meetings with External Audit</li> <li>• Using the External Audit portal to provide timely evidence</li> <li>• Adapting our timetable to work with external auditors</li> </ul>
<p>6 Inappropriate assurance is provided, which could result in:</p> <ul style="list-style-type: none"> <li>• Damage to Internal Audit and the Council's reputation.</li> <li>• Inadequate assurance provided for the Annual Governance Statement</li> <li>• Customer's scarce resources are not allocated effectively</li> <li>• Required improvements are not delivered</li> </ul>	<p>This is managed by PSIAS based procedures including:</p> <ul style="list-style-type: none"> <li>• Audit Manual and protocol for peer reviews.</li> <li>• Consultation with the right people at the right time.</li> <li>• Ensuring the scope is appropriate.</li> <li>• Sharing of information within the team.</li> <li>• Timely peer review process.</li> <li>• Use of industry standard sampling methods.</li> </ul>
<p>7 It is important that we achieved and maintain accreditation and compliance with audit standards (PSIAS and LGAN). If we don't this could result in:</p> <ul style="list-style-type: none"> <li>• Not meeting sector specific requirements</li> <li>• Exception reporting in the Annual Governance Statement</li> <li>• Poor quality brand and reduced ability to get new customers</li> </ul>	<p>We achieved accreditation in 2018/19. This is further mitigated by:</p> <ul style="list-style-type: none"> <li>• A 5 Year external accreditation is completed by qualified inspector (next due in FY 2022/23).</li> <li>• Regular annual self-assessment reported to S151 and relevant Audit Committee, as part of the annual audit opinion.</li> <li>• Continuous Quality Assurance and Improvement Programme, plus customer feedback, used to inform action plan.</li> </ul>
<p>8 Failure to develop quality internal audit services, could result in:</p> <ul style="list-style-type: none"> <li>• Resilience not achieved</li> <li>• Inefficiencies not achieved</li> <li>• Growth not achieved</li> <li>• Competing priorities dilute quality of service</li> </ul>	<p>This is mitigated by:</p> <ul style="list-style-type: none"> <li>• Robust business case approved by Councils</li> <li>• Regular reporting to Shared Service Board and relevant customer committees</li> <li>• Audit committee roles codified in constitutions (and reflect professional good practice guidance e.g. CIPFA).</li> </ul>

## G. COMMUNICATION AND ENGAGEMENT

The SIAS presents Internal Audit plans to their audit committees, (known as “Civic Affairs” in CCC and “Audit and Corporate Governance” in SCDC) and consults with Management to identify the main risks and opportunities for both Councils. The plans are being considered jointly, and this helps us to promote our brand, and understand our customer’s needs.

Internal Audit work is consistent with Council policies and requirements to maintain compliance with equalities legislation. We regularly engage with our customers, through delivery of the audit plan, and proactively seek feedback which could help us to improve the service.

As part of the PSIAS assessment we consulted with management to understand what they need and value from the SIAS, and this has helped to inform our business plan. Overall this was positive feedback, and opportunities for improvement were fed into our continuous Quality Assurance and Improvement Programme, which is reported to the audit committees. We regularly have meetings with the S151 Officer at each Council, which provides an opportunity to provide feedback on services. We have also developed post-audit surveys, which are issued to customers following an audit or consultancy work. This provides an opportunity to learn what works well, and how we can improve.

The SIAS participates in professional networks, which will provide an opportunity to promote the brand with peers.

The team has intranet pages, which provide useful resources for employees, and helps to promote the brand throughout the Council.

**SECTION 2: OPERATIONAL PLAN 2020/21**

**SECTION 2A: BUSINESS PLAN PERFORMANCE INDICATORS**

	<b>Priorities for the service</b>	<b>State where these priorities are outlined (Corporate plans, strategies)</b>	<b>Actions that will deliver the priority</b>	<b>Outputs from the activity</b>	<b>Outcomes from the activity</b>
1	Maintain PSIAS accreditation.	Internal Audit Plan	5-year External Quality Assessment followed by annual Internal Quality Assessment	Compliance report	Assurance that team complies with PSIAS and Local Government Application Note.
2	Deliver joint risk-based plans for CCC / SCDC	Internal Audit Plan	Assurance and advice	Assurance, and action plans for further improvement that drive positive change.	Assurance for the Annual Governance Statement.
3	Key contact for fraud and error data-based analytics	Internal Audit Plan	Data verification, analytics, upload and investigation.	Reports and assurance statements	Opportunities for continuous improvement and active mitigation of fraud risks.
4	Corporate Governance	Internal Audit Plan	Assurance mapping; leading the continuous development of the Local Code of Governance, the Annual Governance Statement, developing the effectiveness of audit committees, and driving good practice through our customers	Assurance of effective controls, up to date policies and governance framework.	Assurance and control improvement. compliance with legislation and best practice.

**SECTION 2B: SERVICE KEY PERFORMANCE INDICATORS**

KPI	Performance Measures <i>(provide a list only - target information is included in section 4)</i>	Dependencies <i>(ICT, Finance, Human Resources, accommodation etc)</i>	Key risks to delivery <i>(include how these will be mitigated)</i>
KPI-1	<p>Legality: Compliance with PSIAS and LGAN.</p> <p>The SIAS will demonstrate that it is professionally competent.</p>	<p>Internal Audit Charter, Internal Audit Manual, and key documents and procedures.</p> <p>Availability and support of key personnel including HIAS, S151, Monitoring Officer, and Committee Chair.</p>	<p>Working processes are non-compliant, which could lead to reputational risk.</p> <p>A continuous review will be completed to ensure compliance, which will be reported to relevant audit committees.</p>
KPI-2	<p>Effectiveness: Timely assurance provided to key stakeholders.</p> <p>Key information, such as performance updates, annual outturn and AGS, will be reported promptly.</p>	<p>Availability of key officers, systems and access to records.</p>	<p>Insufficient resources within the team to complete sufficient work for an audit opinion for the AGS. Customers unreceptive to audits because of competing priorities such as new system / project delivery.</p> <p>Manage by recruitment and project plan management.</p>
KPI-3	<p>Efficiency: Productive use of resources</p> <p>The team will demonstrate that time and resources are used effectively.</p>	<p>Project planning and resource management.</p>	<p>Resources are not utilised effectively.</p> <p>This will be managed by risk appraising, prioritising and monitoring work.</p>
KPI-4	<p>Business success: Customer satisfaction</p> <p>Whilst it is important that SIAS can be objective, we also aim to add value to our customers and will actively ask for feedback.</p>	<p>Customers completing satisfaction questionnaires and providing feedback for continuous improvement of service.</p>	<p>Insufficient resources within the team to respond promptly to customer demand.</p> <p>Manage by recruitment and development plans. Action plans from feedback.</p>

**SECTION 3: 2020/21 SERVICE DEVELOPMENT ACTIVITIES**

**SECTION 3A: SERVICE DEVELOPMENT OBJECTIVES**

**DEVELOPMENT OBJECTIVE**

<b>Development objective</b>	<b>Managing Resources:</b> The team needs maintain a full establishment and recruit into current vacancies. The risk, of vacancies, was recognised as a risk in the original business case, so it is important to offer continuous professional development and career opportunities where possible.	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	A fully resourced team with a complimentary mix of skills and capabilities. Development opportunities.	<b>Lead officer</b>	Jonathan Tully
<b>Is this a Project? (Yes/ No) and description</b>	<i>No – Resourcing the team to the planned establishment is ‘Business as Usual’, although the establishment will be continually reviewed according to the needs of the Council and the risk-based audit plans.</i>				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Improved service to customers			Customer satisfaction		
2. Increased resilience			Reduced turnover and reduced requirement for contract and consultancy staff		
3. Building a strong foundation for potential growth			Reduced turnover and reduced requirement for contract and consultancy staff		
<b>Outputs &amp; products</b>	<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>	
Reflect PSIAS review and customers audit plan resource needs.	2020/21 budget.	Jonathan Tully		March 2021	
<b>Key risks</b>	Unable to recruit from current market, lack of available quality candidates				

**DEVELOPMENT OBJECTIVE**

<b>Development objective</b>	<b>Modern, efficient and effective team:</b> Adopt digital working where possible for efficiencies. Be recognised as an ambassador for change and leader in modern ways of working.	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Utilise digital working Simpler and more efficient processes.	<b>Lead officer</b>	Jonathan Tully
<b>Is this a Project? (Yes/ No) and description</b>	<i>Yes. The team has a continuous Quality Assurance and Improvement Programme, which is reported to Audit Committees annually. Continuous improvement is also a standing item at team meetings. We have been reviewing our processes during 2019/20 and have modernised our approach by working digitally. The roll-out of 'Council Anywhere' in mid 19/20 has enabled us to start leveraging new software to drive further improvement. As a shared service we are an early adopter and are sharing good practice with colleagues throughout both Councils as an ambassador for change.</i>				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Improved flexibility for team members – ability to work digitally and from various locations			Review of working papers.		
2. Increased efficiency – completing work quicker and smarter, improving the service for our customers.			Reduction in working days for specific pieces of work / increased output across the audit plan.		
3. Increased resilience – ability for team members to support each other and collaborate.			Staff multi-site working		
<b>Outputs &amp; products</b>		<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>
Digital file and working papers Time saved and deployed more effectively.		Council Anywhere MS Office applications – Office 365	Jonathan Tully		March 2021
<b>Key risks</b>		Lack of buy in to procedural change, from existing team members. Infrastructure doesn't support new procedures. Reliance upon ICT being available.			

**DEVELOPMENT OBJECTIVE**

<b>Development objective</b>	<b>Develop a strong brand awareness and culture for the SIAS.</b> It is important that both Councils recognise us as a mature shared service and proactively engage with us to maintain a strong governance, risk and control environment. Also a strong brand will help us to promote our services externally.	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Our customers recognise the SIAS as a strong and distinctive brand.	<b>Lead officer</b>	Jonathan Tully
<b>Is this a Project? (Yes/ No) and description</b>	<i>No –This activity will require immediate resource to set-up certain activities such as intranet refresh, updated report formats, but should then become business as usual. We have already established a peer group with other shared services to help us on the journey. Internally this is also about building the right culture within our team, so that sharing information and working collaboratively becomes standard practice. We have already commenced a number of joint pieces of work, and promoted the service externally. We will develop this further in 2020/21.</i>				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Improved service to customers – both Councils benefit from joined up working.			Customer satisfaction		
2. Increased efficiency			Self-service and customer feedback		
3. Consistency of our product for customers – also more efficient for the team.			Customer satisfaction		
<b>Outputs &amp; products</b>		<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>
Branding adopted into working papers and reports		Greater Cambridge branding guidelines	Jonathan Tully		March 2021
<b>Key risks</b>		Not having enough resources (time and marketing skills) to promote the brand.			

**DEVELOPMENT OBJECTIVE**

<b>Development objective</b>	<b>Quality Management System.</b> Quality Management System for the SIAS. A continuous quality assessment helps the team to manage and prioritise their workload, plus analyse completed work to help inform future work plans.	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Management information to help strategic planning	<b>Lead officer</b>	Jonathan Tully
<b>Is this a Project? (Yes/ No) and description</b>	<i>No. In 2018/19 we have developed an in-house Quality management System which has enabled us to record core performance information; and collect baseline data in 2019/20. We are refining this in 2020/21, as there are several dependencies on the functionality of Office 365 being rolled out through Council Anywhere. We have previously explored externally supplied system, but these have not been considered cost effective. The view of the PSIAS assessment was that an in-house system would be sufficient, although we may wish to procure a managed system if the team grows / expands. We will therefore also maintain knowledge of other systems in the market place.</i>				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Improved performance management information			Customer satisfaction		
2. Increased efficiency – modern ways of working			Team satisfaction and feedback through team meetings.		
3. Increased resilience – better knowledge of our work programme progress			Audit plan delivery		
<b>Outputs &amp; products</b>	<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>	
Data management system	Development of in-house systems. Dependency on Council Anywhere rollout.	Jonathan Tully		March 2021	
<b>Key risks</b>	Dependency on Council Anywhere rollout Dependency on time to invest in development of the system, and team training.				

### SECTION 3B: SUMMARY OF SERVICE DEVELOPMENT OBJECTIVES

Service Ref No:	Service Objective and Outcome plus links to partnership objectives, relevant strategies and plans ( <i>i.e. what do we want to achieve and why are we doing it?</i> )	Lead Officer(s)
1	<p>Managing resources.</p> <p><i>The team needs maintain a full establishment and recruit into current vacancies. It is important to offer continuous professional development and career opportunities where possible.</i></p>	Jonathan Tully
2	<p>Modern, efficient and effective team:</p> <p><i>Adopt digital working where possible for efficiencies. Be recognised as an ambassador for change and leader in modern ways of working.</i></p>	Jonathan Tully
3	<p>Develop a strong brand awareness and culture for the SIAS.</p> <p><i>It is important that both Councils recognise us as a mature shared service and proactively engage with us to maintain a strong governance, risk and control environment. Also, a strong brand will help us to promote our services externally.</i></p>	Jonathan Tully
4	<p>Quality Management System for the SIAS.</p> <p><i>A continuous quality assessment helps the team to manage and prioritise their workload, plus analyse completed work to help inform future work plans.</i></p>	Jonathan Tully

## SECTION 4: KEY PERFORMANCE INDICATORS (KPIs)

### Organisational, Service and Corporate Plan Performance Indicators

The table below should list organisational performance indicators (KPIs) applying to the service, key PIs from the action plan in section 2A and any PIs from partners' Corporate Plans that this Service is responsible for reporting against.

We have included performance information from Quarter 2 2019/20 to provide a comparison baseline. Full information, up to the end of the year will be included in the annual report.

KPI Reference and Description		Reporting frequency	2019/20 Q2 Actual	2020/21 Target
<b>Key Service PIs (to be selected from the action plan at section 2B)</b>				
KPI-1	Legality: Compliance with PSIAS and LGAN	Annually	Compliant	Compliant
KPI-2	Effectiveness: Timely assurance provided to key stakeholders (including audit update reports and opinion for the Annual Governance Statement).	Quarterly	Full	Full
KPI-3	Efficiency: Productive use of resources	Quarterly	69%	80%
KPI-4	Business success: Customer satisfaction	Annually	93%	80%
<b>Business Plan KPIs (all PIs in the Business Plan that your service is responsible for should be listed here at Section 2A)</b>				
Maintain PSIAS accreditation.		Annually	Compliant	Compliant
Deliver a joint risk-based plan for CCC / SCDC		Annually	Complete	Complete
Key contact for NFI		Annually	In progress	Complete
Annual Governance Statement		Annually	In progress	Complete

## Appendix A - The Vision for SIAS

**Our mission: To enhance and protect organisational value by providing risk-based and objective assurance, advice and insight.**

Objectives	Be a fully integrated commercial internal audit service across the 2 councils	Deliver robust assurance on risk management, control and governance processes	Be proactive, flexible, future-focused and innovative	Communicate in a clear, easy to understand and timely way	An attractive place to work
Principles	<p>One team.</p> <p>Alignment of audit plans &amp; processes.</p> <p>Clear performance targets.</p>	<p>Audit plans aligned with the strategies, objectives, and risks of the authority.</p>	<p>Audit plans responsive to speed of developments.</p> <p>Increase in collaboration and systems development.</p> <p>Be trusted advisors.</p>	<p>Encourage customer input prior to, during and after work undertaken.</p> <p>Report in the most appropriate manner.</p>	<p>Develop people's contributions for the benefit of the team and the individual.</p> <p>Flexible, home and remote working</p>
Activity	<p>Review of structure.</p> <p>One joint audit plan across our customers.</p> <p>Auditors work at any of the customer sites.</p> <p>New audit manual &amp; audit software.</p>	<p>Regular meetings with senior management to develop customer relationships.</p> <p>Identify assurance gaps.</p>	<p>Undertake audits focused on specific &amp; immediate risks.</p> <p>Promote best practice and new ideas (e.g. continuous auditing).</p> <p>Marketing the benefits that can be gained.</p>	<p>Report actions aligned to risk appetite.</p> <p>Redesign audit report format.</p> <p>Interim reporting to drive change.</p>	<p>Focused staff development and training.</p> <p>Agile working – to meet the customer needs.</p>
Outcome	<p>Standard and consistent processes. PSIAS compliance.</p> <p>Auditors work to same goals &amp; targets.</p> <p>Knowledge sharing amongst auditors and with managers.</p>	<p>Annual opinion report.</p> <p>Suggest ways to add value to service outcomes across our customers.</p>	<p>Real and immediate contribution to Council developments and initiatives.</p> <p>Provide timely advice when requested.</p>	<p>Influence and bring about meaningful change.</p> <p>Full and quick response to reports from managers.</p> <p>Educated and valued customers.</p>	<p>Motivated and engaged staff.</p> <p>Increased productivity.</p>

## Appendix B – Internal Audit Resource Plan

We maintain an internal audit plan which is continually assessed to ensure our resources are allocated as effectively as possible to the Council’s corporate priorities and high priority risks.

To help plan our resource need and focus our assurance work we present our plan to the relevant audit committees at least annually for approval, typically around the start of the Financial Year. The plan is compiled in consultation with Directorates, Chief Executives and External Auditors.

The current plan was approved by the relevant audit committees at [CCC](#) and [SCDC](#).

The resource needs assessment for the 2020/21 risk-based internal audit plan is shown below:

Assurance type	Description	Total days - CCC	Total days - SCDC	Total days - ESH
Corporate Plan Objectives	We develop a continuous risk-based plan which is designed to provide assurance across the Corporate Priorities / Objectives of the Councils. This is regularly reviewed to ensure that resources are allocated to the areas that add the most value.	350	180	20
Core Assurance Work	Our work includes reviews of systems that are fundamental to providing control assurance for internal financial systems, providing assurance to the s.151 officer and audit Committee contributing to the completion of the authority’s Annual Statement of Accounts. Systems are reviewed on a rolling cycle to ensure that all are covered regularly.	100	50	0
Annual Governance and Assurance Work	Each year the Council issues a statement on the effectiveness of its governance arrangements. Internal Audit completes work which supports the production of the Annual Governance Statement, and we contribute to project and working groups where this helps to improve the governance risk and control environment.	80	70	0
Other resource provisions	We include a resource budget for work which proactively adds value to the Council, such as providing advice and consultancy, undertaking fraud and error work, and following up the status of management agreed actions. We also lead / contribute to the Risk Management Framework at each Council.	151	80	0
<b>Grand Total</b>		<b>680</b>	<b>380</b>	<b>20</b>



**BUSINESS PLAN FOR  
Greater Cambridge Shared Waste Service (GCSWS)  
2020 /21**

Service Leads		
<b>Head of Shared Service</b>	Trevor Nicoll	
	<b>Cambridge City Council</b>	<b>South Cambridgeshire District Council</b>
<b>Director of Shared Service</b>	Suzanne Hemingway	Mike Hill
<b>Lead Councillor</b>	Cllr Rosy Moore	Cllr Bill Handley

APPROVED BY	Status	Date
Waste Management Board		
Joint Leaders and CEX Group		
Cambridge City Council		
South Cambridgeshire District Council Cabinet		

Reporting timetable	
<p>Progress reports on Business Plan implementation and progress against key measures will be monitored at the quarterly Waste Board Meetings and subsequently Management Board meetings. Quarter 2 and end of year performance will be submitted to the Joint Leaders and CEX Group. The Annual Report and draft Business and Finance Plans will feed into the corporate planning / MTFS cycles in July and January each year.</p>	
<b>Version</b>	<b>Date</b>
<b>Final</b>	



## SECTION 1: CONTEXT AND OVERVIEW

### A. PURPOSE OF THIS DOCUMENT

This is the Business Plan for the Greater Cambridge Shared Waste Service (GCSWS), for 2020/21. It describes how the shared service arrangement outlined in the approved Business Case will be delivered to ensure objectives are achieved and business benefits are realised within a robust governance framework and in the context of the partner councils' corporate plans.

The following objectives have been agreed:

- Reducing the total waste horizon, whilst encouraging recycling.
- Reduce the carbon impact of the service.
- Developing a green service.
- Protection of services which support the delivery of the wider policy objectives of each Council.
- Creation of services that are genuinely shared between the relevant councils with those councils sharing the risks and benefits whilst having in place a robust model to control the operation and direction of the service.
- Savings through reduced managements costs and economies of scale.
- Increased resilience and retention of staff.
- Minimise the bureaucracy involved in operating the shared service.
- Opportunities to generate additional income, where appropriate.
- Procurement and purchasing efficiencies.
- Sharing of specialist roles which individually, are not viable in the long-term.

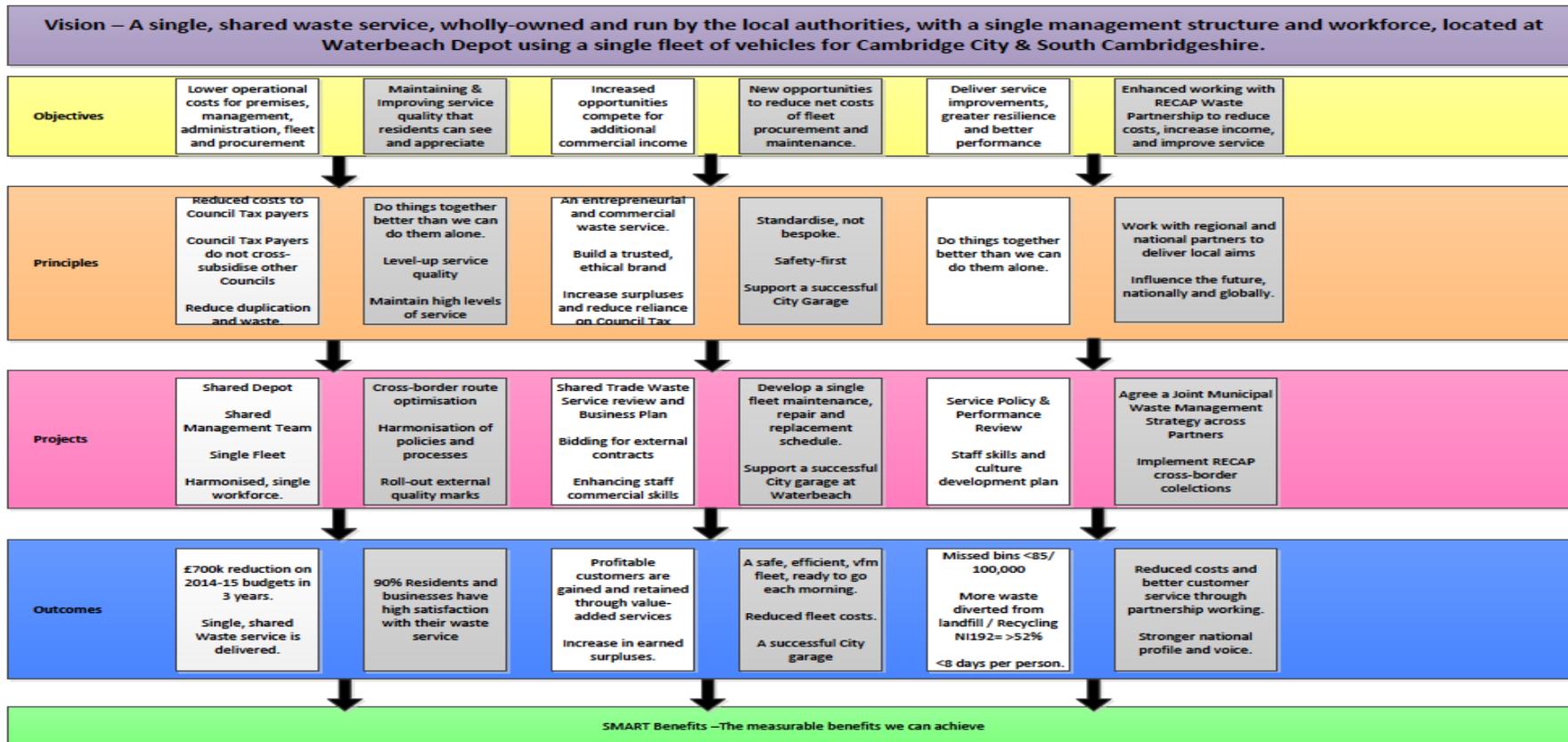
The Plan is divided into the following sections:

- Section 1: Context and Overview
- Section 2: Operational Plan (business as usual activities)
- Section 3: Development Plan (service improvement & project based activities)
- Section 4: Summary of Performance Indicators

## B. DESCRIPTION OF THE SERVICE

### Vision

A shared waste service, wholly-owned and run by the local authorities, with a single management structure and workforce, located at Waterbeach Depot using a single fleet of vehicles for residents Cambridge City and South Cambridgeshire.





**Description of the service**

The Cambridge City and South Cambridgeshire Single Shared Waste Service now includes:

	CCC	SCDC	Notes
<b>Domestic Refuse Collection</b>			
- Residual Waste	✓	✓	
- Organic Waste	✓	✓	CCC & SCDC operate a monthly winter collection service (for 3 month) and charge for additional organic bins.
- Recycled Waste	✓	✓	SCDC and CCC operate a fully co-mingled service.
<b>Policy and communications on Waste Management</b>	✓	✓	Fully aligned policies
<b>Commercial Waste</b>	✓	✓	
<b>Street Cleansing</b>	x	✓	CCC retains Streets and Open Spaces separate from the GC Shared Waste Services.

The Service collects recycling and waste from approximately 123,180 households and over 2,720 commercial customers across both council areas.

**Governance**

The role of the Shared Waste Board is to:

- oversee delivery of the shared waste service;
- oversee performance within the budget and policy framework set by both Councils
- provide advice and recommendations on waste policy matters to both Councils; and
- deliver the Councils' objectives.



### **Aims & Priorities**

The key objectives of the shared waste service are to:

- deliver a safe and legally compliant service;
- maintain and improve service quality that residents can see and appreciate;
- developing a low carbon service;
- reducing the total waste horizon, whilst encouraging recycling;
- lower operational costs, particularly in the areas of premises, management, administration, fleet and equipment costs;
- increase opportunities to market and compete for additional business, for instance in relation to trade waste;
- find new opportunities to reduce net costs in relation to fleet procurement and maintenance;
- achieve service improvements, greater resilience and better performance, through shared knowledge and experience;
- enhance opportunities to work with other Cambridgeshire local authorities via the RECAP Waste Partnership to reduce waste collection and disposal costs, improve income and secure service improvements;
- Deliver the KPIs for the service; deliver the ongoing benefits of a shared service through change and innovation.

Key external stakeholders are:

- Cambridge City and South Cambridgeshire Councils residents and businesses;
- RECAP Partnership (other partners are Cambridgeshire County Council, East Cambridgeshire District Council, Fenland District Council, Huntingdonshire District Council and Peterborough City Council);
- Elected Members;
- Area Committees and Parish Councils;
- Commercial supply – chain contractors;
- Community Groups and Volunteers – Recycling Champions, Cambridge Sustainable Food, Cambridge Carbon Footprint, Parish and Area groups;
- ICT System Providers;
- Local Media.

**C. FINANCIAL OVERVIEW**

	<b>2018-19</b>	<b>2018-19</b>	<b>2019-20</b>	<b>2019-20</b>	<b>2020-21</b>
	<b>Budget</b>	<b>Outturn</b>	<b>Budget</b>	<b>Outturn</b>	<b>Budget</b>
	<b>GCSWS</b>	<b>GCSWS</b>	<b>GCSWS</b>	<b>GCSWS</b>	<b>GCSWS</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Staffing	5,053	5,256	5,326		5,641
Premises Related Expenses - inc Depot	241	241	231		223
Running Costs					
Transport Related Expenses	1,525	1,456	1,578		1,491
Supplies and Services	463	652	419		434
Communications	35	43	87		65
Contracted Services - including waste disposal	1,767	1,639	1,899		1,797
Miscellaneous	21	8	32		18
Capital Charge (Dep'n) – SCDC Only	223	223	223		223
Sinking Fund Contribution – SCDC Only	640	640	650		680
Support Service Recharges – SCDC Only	514	514	508		TBC
<b>TOTAL GROSS EXPENDITURE</b>	<b>10,482</b>	<b>10,672</b>	<b>10,953</b>		<b>10,571</b>
<b>INCOME</b>	<b>(5,285)</b>	<b>(5,393)</b>	<b>(5,503)</b>		<b>(5,372)</b>
<b>TOTAL NET EXPENDITURE</b>	<b>5,198</b>	<b>5,279</b>	<b>5,450</b>		<b>5,199</b>



requirement					
Additional Staffing Requirement		3 Staff	3 Staff		3 Staff
<b>Capital</b>	<b>£0</b>	<b>£375,000</b>	<b>£375,000</b>	<b>£0</b>	<b>£375,000</b>
Revenue Staff	£0	£85,000	£85,000	£0	£85,000
Revenue other	£0	£50,000	£50,000	£0	£50,000
<b>Total Revenue</b>	<b>£0</b>	<b>£135,000</b>	<b>£135,000</b>	<b>£0</b>	<b>£135,000</b>
Revenue City additional	£0	£44,704	£48,952		£58,363
Revenue SCDC additional	£0	£90,296	£86,048		£96,637
City Revenue pressure	£0	£44,704	£93,656	£93,656	£144,488
SCDC Revenue pressure	£0	£90,296	£176,344	£176,344	£260,512
<b>Service Revenue Pressure</b>	<b>£0</b>	<b>£135,000</b>	<b>£270,000</b>	<b>£270,000</b>	<b>£405,000</b>



## D. STAFFING OVERVIEW

### **Staffing**

All staff in the Shared Service are now employed by SCDC and work on behalf of CCC and SCDC. A Shared Management Team comprises of a Head of Waste; Waste Operations Manager; Waste Policy, Change and Innovation Manager; and Commercial Waste Manager. The current organisational structure of the service is shown below. All staff and vehicles are now located at Waterbeach depot.

Currently there are 189 posts within the service, the following tables provide some information and an outline of the current organisational structure is in Appendix 1.

Office	25
Operational – Waste	149
Operational – Cleansing	15
<b>Grand Total</b>	<b>189</b>

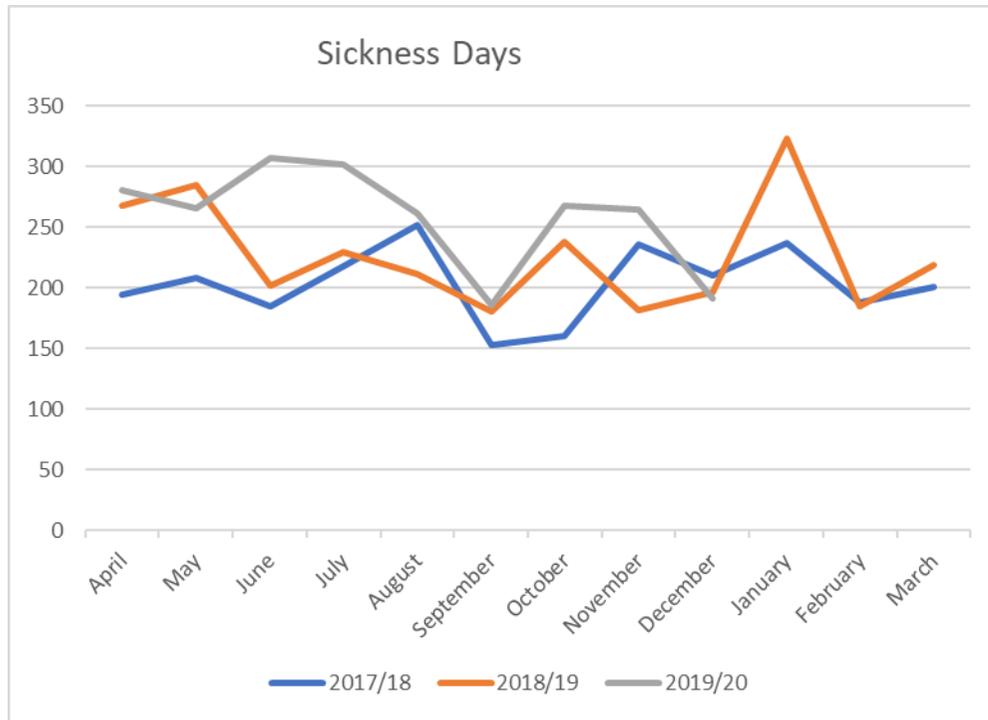
### **Recruitment**

The service has been carrying a high number of vacancies particularly HGV drivers, currently eight positions, which due to a national shortage of drivers is making these posts difficult to fill. To try to reduce this risk the service has undertaken an active recruitment programme, including developing a driver training programme, within our loading staff, currently we have four staff on this programme.

To reflect that the service requirements change since the formation of the shared service there has been a couple of slight changes to structure in the Commercial Waste Team and the Operations Management Team. The service is also hosting a Compliance Officer to support the Councils currently contracting Amey to manage the dry recycle MRF contract.

### **Sickness issues**

During 2019 the service has continued to experience high levels of sickness, both short and long term. An active programme has been implemented to reduce sickness as the high level will have a direct financial burden on the service as sick drivers and operatives need to be replaced with agency staff to ensure that all work is completed. The sickness was inflated this year by a road traffic accident which has led to the long term sickness absent of two members of staff.



Quarter	Sick days per FTE per quarter		
	2017	2018	2019
01/01 - 31/03	5.33	3.78	4.37
01/04- 30/06	4.67	4.38	4.97
01/07 - 30/09	4.54	3.67	4.38
01/10 - 31/12	4.22	3.69	4.48
<b>Total</b>	<b>18.76</b>	<b>15.52</b>	<b>18.2</b>



**GREATER CAMBRIDGE  
SHARED WASTE**

**November 2019**  
Phone numbers begin  
(01954) 71XXXX

**Greater Cambridge Shared Waste  
Contacts**

Mixed Bins and new bins  
[www.scams.gov.uk/recycling](http://www.scams.gov.uk/recycling)

General waste and street care  
[refuse@scams.gov.uk](mailto:refuse@scams.gov.uk)  
Depot X3484  
Trade Waste X3496



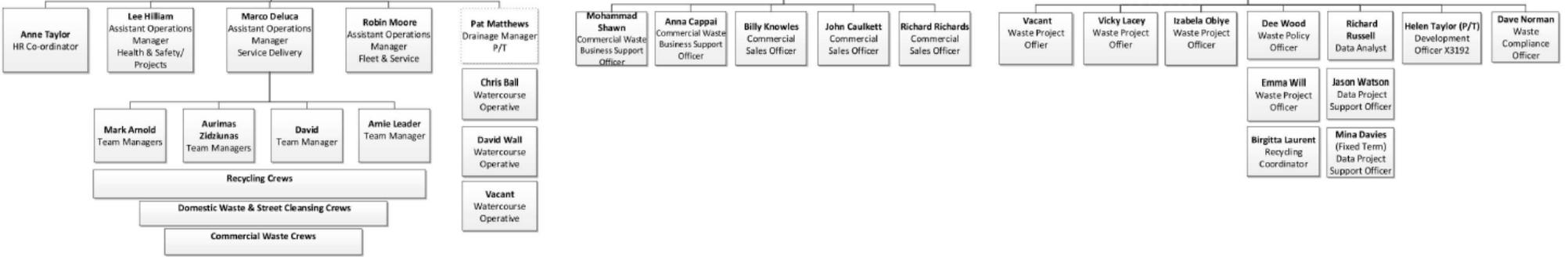
**Greater Cambridge Shared Waste Board**

**Trevor Nicoll**  
Head of Shared Waste  
Services

**Rebecca Weymouth –  
Wood Waste Policy,  
Change & Innovation  
Manager**

**Greg Hutton-Squire  
Commercial Waste  
Manager**

**Michael Parsons  
Waste Operations  
Manager**





## E. LOOKING BACK

The service has continued to develop over the last 12 months, it now is providing an efficient service for residents; and internally staff have established into a strong team. Below are a few of the key successes: -

### **Review of round changes.**

The operations team has reviewed specialist operational collection rounds, looking at how these could be embedded into normal collection round. This has enabled the service to reduce that number of vehicles used and increase to productivity of operations, and on a number of days they have been able to reduce the number of front-line vehicles which are dispatched. This will enable the service to offset the pressure of new housing growth in the collection area.

### **Standardised policies**

Chargeable second garden waste service rolled out in SCDC, about 3,000 additional chargeable bins are now in service, about 50% of customers using this service are paying by direct debit.

### **Implement new digital end-to-end customer & business processes supported by new, single, shared ICT system.**

The service went live with Yotta Alloy in December for domestic waste, this follows on from the successful implementation of Yotta Mayraise. Mayraise replaced three incumbent systems and made it possible for residents to self-report any query collections issues on-line and enabling round information to be changed more flexibly and quicker than the previous systems. The implementation has also reduced the amount of double entering of service requests from customer.

By April 2020 all services area should have moved to Alloy.

### **Continued to enhance structured training and monitoring scheme, which has H&S at the heart**

Robust training and monitoring of operations team now embedded in the service, including structured annual training and scheduled toolbox talks through the year. This programme has included operational monitoring, rough sleeping awareness and poor driver awareness elements. Started to investigate in-cab driver behaviour systems and vehicle damage management system.



**Service wide material quality campaign to reduce contamination in the recycle**

The policy and communications team have undertaken a number of general campaigns to support and educate residents to recycle more and reduce contamination in the dry recycling. In addition to these general campaigns we the team has also undertaken focused door knocking in area of highest reported contamination. These activities have helped to reduce contamination further.

**Composition Analysis**

We have commission waste composition analysis across all the waste streams this year. This has highlighted that food waste makes up about 35% of the residual bin. This information will be used to help focus next years communications activities.

**Increased rate of successful collections**

The service collects about 675,000 bins every month. The number of successful collections has increased from 99.7% to 99.8% (a drop from 1,800 to 1,400 missed collections per month) over a comparable period this year and last. This has been done by closer supervision of collection crews, the use of the Yotta system and greater involvement of the collection teams.



## F. LOOKING FORWARD

### Plans for 2020/21

- Separate Food Waste trail in two location and service wide campaign on food waste minimisation and recycling
- Continue service wide and local focused material quality campaign to reduce contamination in the recyclate.
- Finalise implement changes to Yotta Alloy for both streets and waste service to further improve digital end-to-end customer processes.
- Work with RECAP partners on contract reviews and partnership opportunities.
- Trailing of electric refuse collection vehicles to reduce the carbon impact of the service.
- Implement robust sales plan to increase the profitability of the commercial waste service.
- Identify and develop operational plans to ensure the service will comply with the national 25 Year Resources and Recycling Strategy.

The further success of the service will be observed by;

- Achievement of savings defined in the business plan.
- Growth of the Commercial Waste Service.
- An increase in the percentage of waste diverted from landfill.
- A High level of resident satisfaction with recycling and waste collections.
- Creation of a team that is proud of the service and take pride in their work (in part measured by Successful Collection, Sickness Absence Levels and Staff Survey)
- High level of satisfaction with street cleanliness – South Cambridgeshire

### Opportunities and Risks/Threats

#### **Political**

- Brexit.
- Central Government uncertainty
- Increasing financial pressures due to reductions in Central Government funding.
- Political policy and legislative changes at local and national level increasing new 25 Year Resources and Recycling Strategy.
- Bolder decision-making and greater scope for innovation.



### **Economic**

- Fluctuations in recyclable materials prices either increasing or decreasing costs or viability.
- Fluctuating fuel prices either increasing or decreasing operational costs.
- Loss of key contractor.
- Anticipating customer needs and responding to key competitors in trade waste markets.

### **Environmental**

- Legislative requirements to collect recyclable materials separately rather than co-mingled may be extended to include additional materials, such as food waste which is included in the new 25 Year Resources and Recycling Strategy.
- Increasing industry requirements for better quality recyclable materials to compete with virgin materials markets and opportunities to achieve greater income to the authorities.
- Drive to increase proportion of waste diverted from landfill which can call for simplification rather than segregation.

### **Social**

- Ability to meet the demand of housing growth within Cambridge City and South Cambridgeshire and opportunity through this to develop new recycling schemes e.g. underground banks.
- Residents do not use schemes as designed, increasing collection and processing costs and opportunities for closer engagement with communities/policy review to improve recycling behaviours.
- Media interest in plastics and recycling, such as the Blue Planet effect and focus on single-use plastics.
- Pressure to reduce carbon impact from vehicle fleet.

### **Technological**

- Re-design of vehicles, bins and ICT to support development of optimised collection schemes.
- Development of integrated systems and software to achieve service efficiencies.
- Electric Refuse Collection vehicles and power generation options
- Use of driver behaviour system.



## G. COMMUNICATION AND ENGAGEMENT

Current key messages for the service include:

- Reduce of food waste in black-bin, focusing on reducing avoidable food waste and redirecting unavoidable waste to organic collections.
- Reduce black-bin waste to reduce landfill, its environmental impacts and its costs.
- Re-use and reduce waste – buy what you need, re-use when you can.
- Focus on high quality recyclate.
- Refocusing from waste to resource.
- Recycle, recycle, recycle via your blue bin.
- Support community volunteering groups to keep the environment clean and litter-free.
- Increase reporting of fly-tipping, littering and dog-fouling.
- Information on end market for materials
- Councils' are actively working together to reduce costs to Council Tax payers.

A Communication Plan will be developed, to include:

- Evidence based focus for targeted campaigns.
- Internal and external stakeholders.
- Key messages to communicate and timescales.



## SECTION 2: OPERATIONAL PLAN 2019/20

### SECTION 2A: BUSINESS PLAN PERFORMANCE INDICATORS

KPI	Priorities for the service	State where these priorities are outlined <i>(Corporate plans, strategies)</i>	Actions that will deliver the priority	Outputs from the activity	Outcomes from the activity
A	Collect all residents' and businesses' bins safely and with great customer service on the due day.	Corporate plans.	Fully staffed and trained crews safely collect on safe bin lorries every day.	All bins collected. No health & safety issues. Delivered within budget.	A clean, healthy City and District, with highly satisfied residents and Councillors.
B	Increase in the percentage of waste diverted from black bins & landfill.  Increase quality and quantity of recyclate material.	Corporate Plans / Joint Municipal Waste Management Strategy. (JMWMS)	Reviewing and changing policies to support this.  Effective resident and business communications and influencing.  Effective monitoring.	Reduced tonnage of black bin waste.  Less recyclate in black bins.  Residents change their behaviours.  Less contaminate in blue bins.	Reduced environmental impact from waste.  Reduced disposal costs for County Council.  Increased income from recycled materials sales for the service.
C	A GCSWS team that is proud of the Service and take pride in their work.	Corporate Plans.	Lead and implement the service plan and improvement projects.  Champion effective communication within the service.	Colleagues feel part of and pride in the service.  High staff engagement with service and Councils' priorities. High job satisfaction for staff.	High staff pride reported.  High levels of customer service and resident and business satisfaction.  Reduction in sickness rate.



D	Develop the Greater Cambridge Commercial Waste Service to help fund waste and recycling across the area.	MTFS.  Corporate Plan.	Sales teams understand customer needs and convert sales.  Operational teams collect commercial bins on due day with high levels of customer care and satisfaction.  Marketing plan in action.	Increase in customer base with increased satisfaction.  Increase in service income.  Increased numbers of businesses recycling.	A clean, healthy City and District, with highly satisfied businesses, residents and Councillors.  Reduced costs to Council Tax payers.  Councils' MTFS targets achieved.
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**SECTION 2B: SERVICE KEY PERFORMANCE INDICATORS**

KPI	Performance Measures <i>(provide a list only - target information is included in section 4)</i>	Dependencies <i>(ICT, Finance, Human Resources, accommodation etc)</i>	Key risks to delivery <i>(include how these will be mitigated)</i>
KPI-A1	% bins successfully collected on scheduled collection days.	<p>ICT – support web services and Yotta system.</p> <p>Human Resources – whether we have staff available and Agency contracts working well to ensure all crews go out as planned.</p> <p>Vehicles – ensure that we have maintained vehicles via Cambridge City Fleet Service.</p> <p>Traffic – Major Road building programme in area.</p>	<p>Ensure that staffing and funding is available to complete migration to Yotta Alloy.</p> <p>Sickness absence levels and absence of agency staff cover mean staff are unavailable to collect bins. National shortage of HGV drivers means it is challenging to keep the team fully staffed.</p> <p>Vehicles are replaced at the correct timescale and that fleet management is strong.</p> <p>Monitor road closures and have secondary routes if possible.</p>
KPI-B1	% recycling rate.	Resident.	Provision of clear communications via multi streams.
KPI-B2	Kg of residual waste per household.	External contractor - Amey.	This contract is a key risk at present due to global recycling markets uncertainty and quality of material. Strong active management of contractors.
KPI B3	Kg of dry recyclate per household.		
KPI B4	Kg of organic waste per household.		
KPI B5	Contamination rate.		



KPI-C1	Sickness absence (days absence / fte).	Human Resources – to support management.	The increased focus on absence management requires line managers to be trained, supported and unwavering. They also need HR support on an ongoing basis, and to take a consistent approach. Early progress is good.
KPI-D1	Increase in service profit.	Finance.	Not being able to monitor true costs and income.
KPI-D2	Increased total numbers of businesses.		External pressure of other trade waste businesses in the area.



## SECTION 3: 2020/21 SERVICE DEVELOPMENT ACTIVITIES

### SECTION 3A: SERVICE DEVELOPMENT OBJECTIVES

#### DEVELOPMENT OBJECTIVE 1

<b>Development objective</b>	Activity use Yotta Alloy datasets both at an operational and strategic level to help shape service	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Single system for managing service information and supporting improvements.	<b>Lead officer</b>	Rebecca Weymouth-Wood
<b>Description</b>	<p>All service information to be managed via Yotta Alloy – including ability for customers to log and queries issues on-line and staff to manage and respond to issues via in-cab devices. System to be fully integrated with both Councils portals</p> <p>Use data to manage and develop service for the benefit of customers.</p>				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Single software system to maintain.			Reduction of number of systems.		
2. Increased flexibility for managing data at all level to improve service efficiency.			Increase use in data to make service improvements.		
3. Removing need for double entering data within process.			Reduction of support required from Resources Team.		
4. Increase channel shift to website/portal.			Measuring number of call and web transaction.		
5. Able service to identify trends and support service improvements.			Data informed service design.		
6. Increase the about of real-time transactional/service information that can be presented on-line for Resident and Members to access.			Number of web transactions.		
<b>Outputs &amp; products</b>		<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>



Increase reporting of data trends	In service data officers	Trevor Nicoll	December 2020
More granular data			
<b>Key risks</b>	Yotta Alloy system. Staff will not use all elements of Yotta system.		



## DEVELOPMENT OBJECTIVE 2

<b>Development objective</b>	Develop the Greater Cambridge Trade Waste Business to increase profitable return.	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Growth in Commercial Waste Service increases profitability. Reviewed structure and approach to delivery.	<b>Lead officer</b>	Greg Hutton-Squire.
<b>Description</b>	Further develop a focused marketing and communications programme to increase market share of profitable customers.				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Delivery of an additional surplus over 2019/20 budget.			Commercial Waste Service monthly management accounts; and income/expenditure reports.		
2. Reduced costs through service integration / rationalisation.			Reduced operational costs.		
3. Review of account management working structure.			Increased profitable contracts, customer retention and budget surplus.		
4. Increased profitable customer retention.			Increased profitable contracts, customer retention and budget surplus.		
5. Increase customer transfer to recycling lead service.			Increase number of customers with recycling service and tonnages.		
6. Review services provided to customers fulfil their needs.			Customer feedback		



Outputs & products	Resources	Responsible Officer	Target delivery date
Marketing and communication. Services harmonisation / process review. Profit. Structure review.	Commercial waste team, with support from Head of Service, finance, policy team (data analysts) and external contractor as required.	Greg Hutton-Squire.	June 2020.
<b>Key risks</b>	Competition from other businesses. Incorrect pricing model.		



### DEVELOPMENT OBJECTIVE 3

<b>Development objective</b>	Communication programme to increase high quality recyclate and reduction in waste.	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Increase in dry recyclate collected whilst also seeing a reduction in contamination and tonnage general waste.	<b>Lead officer</b>	Rebecca Weymouth-Wood.
<b>Description</b>	<p>Implement a coordinated communication and education programme to inform residents and business of the importance of recycling correctly. This programme will include area wide and focused activities.</p> <p>Increased focus on minimisation of residual waste.</p>				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Increase in income from recycling credits.			Income from recycling credits and material value.		
2. Improved recycling rate.			Recycling rate and Kg per household of recycling and residual collected.		
3. Reduce of carbon impact of residents.			Recycling rate and Kg per household of recycling and residual collected.		
<b>Outputs &amp; products</b>		<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>
Marketing and communication Education programme including door knocking.		Service communication officers with additional support from corporate communications team. External support with door knocking.	Rebecca Weymouth-Wood.		December 2020.



Key risks

Residents not be will to engage.  
Changes to material markets.



**DEVELOPMENT OBJECTIVE 4**

<b>Development objective</b>	Community Events Sustainability Guide	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Reduce of single use items and recycling services at events	<b>Lead officer</b>	Rebecca Weymouth-Wood.
<b>Description</b>	Development of easy to use guide to help community group to deliver local events in a sustainable way.				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Reduction of litter post events			Reduction in time and cost cleaning up post events.		
2. Increase recycle from events			Recycling rates/tonnage		
3. Standardised service whilst at home and at events for residents thus reduction in contamination.			Recycling rates/tonnage and contamination. Material values.		
4. Reduction in carbon impact.			Recycling rates/tonnage and contamination.		
<b>Outputs &amp; products</b>		<b>Resources</b>	<b>Responsible Officer</b>		<b>Target delivery date</b>
Simple user guide.		Support will be required from communications and web team.	Rebecca Weymouth-Wood		May 2020
<b>Key risks</b>		Event organisers will not use the guide.			

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## DEVELOPMENT OBJECTIVE 5

<b>Development objective</b>	Determined implications to the service due to 'The Resources and Waste Strategy.'	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Develop options for service to comply with 'The Resources and Waste Strategy' which best meets the need of residents locally.	<b>Lead officer</b>	Trevor Nicoll.
<b>Description</b>	The National Resources and Waste Strategy is the government's 25-year environment plan which covers several areas including sustainable production, standardised collection models, separate food waste collections, waste crime. The plan will have implications how the GCSWS provides services to residents.				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Being involved with consultation will provide opportunity to shape the final strategy.			Consultation response.		
2. Understanding implication of the strategy early will enable the service more time to develop options.			Development of options paper.		
<b>Outputs &amp; products</b>			<b>Resources</b>		<b>Responsible Officer</b>
Development of RECAP options modelling			External consultancy support will be required to develop options.		Trevor Nicoll.
<b>Key risks</b>			Additional cost of service. Requirement to engage residents.		
<b>Target delivery date</b>			March 2021.		



## DEVELOPMENT OBJECTIVE 6

<b>Development objective</b>	Reducing the carbon impact of the collection fleet	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Reduce diesel fuel usage and trial electric RCV	<b>Lead officer</b>	Michael Parsons.
<b>Description</b>	Reduce the impact of current diesel fleet by improved routing and driver behaviours. Change procurement strategy for new fleet to an electric based solution, including the cleaner energy capture options.				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
Reduction in carbon output			Reduction of fuel usage		
Reduction in fuel cost			Reduction of fuel usage		
<b>Outputs &amp; products</b>			<b>Resources</b>		<b>Responsible Officer</b>
Driver behaviour change programme. Procurement of eRCV			Procurement supports.		Trevor Nicoll.
<b>Key risks</b>			Drivers to engage with behaviour programme. New eRVC to be available on the market and able to undertake operations.		



**DEVELOPMENT OBJECTIVE 7**

<b>Development objective</b>	Food Waste awareness and separate collection trial	<b>Describe the desired outcome – what will it look like when it has been achieved?</b>	Reduction of avoidable food waste. Reduction of food waste in residual bin with it being transfer to organic collection. Trail of suitability and cost of separate collection of food waste.	<b>Lead officer</b>	Rebecca Weymouth-Wood.
<b>Description</b>	<p>Implement a year long coordinated communication and education programme to inform residents of the importance of minimising avoidable food waste and correctly recycling unavoidable food waste. This will be done via a range of activities online, social media, events and activities.</p> <p>Implement and monitor a trial of separately collected food waste in two areas of the service area. Food to be collected in caddies at the kerbside on a weekly basis and then processed via IVC.</p>				
<b>Business Benefits</b>			<b>How will it be measured?</b>		
1. Increase in income from recycling credits.			Income from recycling credits and material value.		
2. Improved recycling rate.			Recycling rate and Kg per household of organic and residual collected.		
3. Reduce of carbon impact of residents.			Recycling rate and Kg per household of organic and residual collected.		
4. Trial information about participation and usage of separate food waste scheme.			Food waste tonnage and participation information from Alloy.		



Outputs & products	Resources	Responsible Officer	Target delivery date
<p>Separate Collection for food waste for 1000 households.</p> <p>Marketing and communication. Education and events programme.</p>	<p>Communication and Operation staff from existing budgets.</p> <p>Service communication officers with additional support from corporate communications team.</p>	<p>Mike Parsons</p> <p>Rebecca Weymouth-Wood.</p>	<p>Separate food waste trial start April 2020 for at least 6 months</p> <p>Communication to start April 2020 for 12 months</p>
<p><b>Key risks</b></p>	<p>Residents not will to engage. Changes to material markets.</p>		



### SECTION 3B: SUMMARY OF SERVICE DEVELOPMENT OBJECTIVES

Service Ref No:	Service Objective and Outcome	Lead Officer(s)
1	Objective - Activity use Yotta Alloy datasets both at an operational and strategic level to help shape service. Outcome - Single system for managing service information and supporting improvements.	Rebecca Weymouth-Wood.
2	Objective - Develop the Greater Cambridge Commercial Waste Business to increase profitable return. Outcome - Growth in Commercial Waste Service increase profitability; reviewed structure and approach to delivery.	Greg Hutton-Squire.
3	Objective - Communication programme to increase high quality recycling and reduction in waste. Outcome - Increase in dry recycle collected whilst also seeing a reduction in contamination and tonnage general waste.	Rebecca Weymouth Wood.
4	Objective - Community Events Sustainability Guide. Outcome - Reduce of single use items and recycling services at events.	Rebecca Weymouth Wood.
5	Objective - Determined implications to the service due to 'The Resources and Waste Strategy.' Outcome - Develop options for service to comply with 'The Resources and Waste Strategy' which best meets the need of residents locally.	Trevor Nicoll.
6	Objective - Reducing the carbon impact of the collection fleet. Outcome - Reduce diesel fuel usage and trial electric RCV	Michael Parsons.
7	Objective - Food Waste awareness and separate collection trial Outcome - Reduction of avoidable food waste. Reduction of food waste in residual bin with it being transfer to organic collection. Trail of suitability and cost of separate collection of food waste.	Michael Parsons.



## SECTION 4: KEY PERFORMANCE INDICATORS (KPIs)

### Organisational, Service and Corporate Plan Performance Indicators

The table below should list organisational performance indicators (KPIs) applying to the service, key PIs from the action plan in section 2A and any PIs from partners' Corporate Plans that this Service is responsible for reporting against.

KPI Reference and Description		Reporting frequency	Average Frequency Target	2020/21 Target
<b>Key Service PIs (to be selected from the action plan at section 2B)</b>				
KPI-A1	% bins successfully collected on scheduled collection days	Monthly	99.7%	99.7%
KPI-B1	% recycling rate (and year to date)	Monthly	52%	52%
KPI-B2	Kg of residual waste per household	Monthly	34.17kg	410 kg
KPI-B3	Kg of dry recyclate per household	Monthly	17.08kg	205 kg
KPI-B4	Kg of organic waste per household	Monthly	24.17kg	290 kg
KPI-B5	Contamination rate	Monthly	6%	6%
KPI-C1	Sickness absence (days absence / fte)	Monthly	1 per FTE	12 per FTE
KPI-D1	Increase in service profit	Quarterly	£25k	£100k
KPI-D2	Increased total numbers of businesses	Quarterly	5	60
<b>Business Plan KPIs (all PIs in the Business Plan that your service is responsible for should be listed here at Section 2A)</b>				

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of the Local Government Act 1972.

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