

# Cabinet



**Date & time**  
Tuesday, 26  
February 2019  
at 2.00 pm

**Place**  
Ashcombe Suite,  
County Hall,  
Kingston upon  
Thames, Surrey  
KT1 2DN

**Contact**  
Vicky Hibbert or Angela  
Guest  
Room 122, County Hall  
Tel 020 8541 9229 or  
020 8541 9075

**Chief Executive**  
Joanna Killian



**We're on Twitter:**  
[@SCCdemocracy](#)

[vicky.hibbert@surreycc.gov.uk](mailto:vicky.hibbert@surreycc.gov.uk)  
or  
[angela.guest@surreycc.gov.uk](mailto:angela.guest@surreycc.gov.uk)

**Cabinet Members:** Mr Mel Few, Mr Matt Furniss, Mr Mike Goodman, Mrs Julie Iles, Mr Colin Kemp, Mrs Mary Lewis, Mrs Sinead Mooney, Ms Charlotte Morley, Mr Tim Oliver and Ms Denise Turner-Stewart

**Deputy Cabinet Members:** Mrs Natalie Bramhall, Miss Alison Griffiths, Mr Cameron McIntosh and Mr Wyatt Ramsdale

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**This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Vicky Hibbert or Angela Guest on 020 8541 9229 or 020 8541 9075.**

***Note:** This meeting may be filmed for live or subsequent broadcast via the Council's internet site - at the start of the meeting the Chairman will confirm if all or part of the meeting is being filmed. The images and sound recording may be used for training purposes within the Council.*

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## **1 APOLOGIES FOR ABSENCE**

## **2 MINUTES OF PREVIOUS MEETING: 29 JANUARY 2019**

The minutes will be available in the meeting room half an hour before the start of the meeting.

## **3 DECLARATIONS OF INTEREST**

All Members present are required to declare, at this point in the meeting or as soon as possible thereafter

- (i) Any disclosable pecuniary interests and / or
- (ii) Other interests arising under the Code of Conduct in respect of any item(s) of business being considered at this meeting

### **NOTES:**

- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest
- As well as an interest of the Member, this includes any interest, of which the Member is aware, that relates to the Member's spouse or civil partner (or any person with whom the Member is living as a spouse or civil partner)
- Members with a significant personal interest may participate in the discussion and vote on that matter unless that interest could be reasonably regarded as prejudicial.

## **4 PROCEDURAL MATTERS**

### **a Members' Questions**

The deadline for Member's questions is 12pm four working days before the meeting (*20 February 2019*).

### **b Public Questions**

The deadline for public questions is seven days before the meeting (*19 February 2019*).

### **c Petitions**

The deadline for petitions was 14 days before the meeting, and 2 petitions have been received. One of these is in relation to Car Parking Charges on the Countryside Estate and the other is regarding Cuts to Surrey Fire and Rescue Service – Esher Fire Station.

### **d Representations received on reports to be considered in private**

To consider any representations received in relation why part of the meeting relating to a report circulated in Part 2 of the agenda should be

open to the public.

**5 REPORTS FROM SELECT COMMITTEES , TASK GROUPS, LOCAL COMMITTEES AND OTHER COMMITTEES OF THE COUNCIL**

**6 LEADER / DEPUTY LEADER / CABINET MEMBER DECISIONS/ INVESTMENT BOARD TAKEN SINCE THE LAST CABINET MEETING**

(Pages 1 - 4)

To note any delegated decisions taken by the Leader, Deputy Leader, Cabinet Members and Investment Board since the last meeting of the Cabinet.

## **PEOPLE**

**7 COMMISSIONING OF DEMENTIA NAVIGATORS SERVICE**

(Pages 5 - 16)

Surrey County Council currently commissions, on behalf of the County Council and the Surrey NHS Clinical Commissioning Groups (CCGs), a Dementia Navigator service which provides vital support to Surrey residents following a diagnosis of dementia and shows, enables and empowers them how to access and connect to a range of support and services available throughout the lifetime of their condition.

This report sets out recommendations arising from work on options for the provision of the Dementia Navigators service and outlines the outcome of market engagement and a competitive procurement process which was carried out in order to select a supplier to deliver the service.

N.B. There is a Part 2 Annex at Item 14.

*[The decisions on this item can be called in by the Adults & Lifelong Learning Select Committee]*

**8 SURREY PERFORMING ARTS LIBRARY- EVALUATION OF NEWSPAL BUSINESS PLAN**

(Pages 17 - 94)

On 26 June Cabinet agreed a recommendation that NewSPAL should be invited to prepare a comprehensive business plan to take on the running of SPAL giving it a future independent of the County Council. NewSPAL has now presented its business plan which has been consulted upon and evaluated. This report summarises the evaluation and the reasons for the recommendations.

*[The decisions on this item can be called in by the Adults & Lifelong Learning Select Committee]*

## **COUNCIL**

**9 AGILE WORKFORCE DEVICE PROCUREMENT**

(Pages 95 - 102)

The purpose of this report is to seek Cabinet approval to delegate authority to the Executive Director for Customer, Digital and Transformation, in consultation with the relevant Cabinet Member, to award framework call-off contract(s) for the provision of end user computer

devices and associated services and to place during the life of the contract(s).

N.B. There is a Part 2 Annex at Item 15.

*[The decisions on this item can be called in by the Corporate Overview Select Committee]*

**10 MICROSOFT ENTERPRISE LICENSE AGREEMENT RENEWALS** (Pages 103 - 114)

Currently Surrey County Council uses Microsoft software licence agreements to provide Council employees with access to software productivity packages. The current Microsoft agreements will expire during May and June 2019 and there is no option to extend these beyond this term, requiring re-procurement of these agreements.

This report sets out recommendations arising from work on options for the provision of Microsoft Enterprise License Agreement Renewals and outlines a competitive procurement process which was carried out in order to select a supplier to deliver the service.

N.B. There is a Part 2 Annex at Item 16.

*[The decisions on this item can be called in by the Corporate Overview Select Committee]*

**11 SURREY COUNTY COUNCIL PREPARATIONS FOR EXITING THE EUROPEAN UNION (BREXIT)** (Pages 115 - 124)

This report updates Cabinet on the ongoing work Surrey County Council is undertaking to prepare for all eventualities of Brexit. The Council's preparations aim to mitigate any potential implications for the county – particularly in the immediate and short term – supporting residents, communities and organisations. The report details the work that has taken place by the Council and for the county; the key implications that have been identified for the Council and the county; and how the Council will aim to mitigate any impacts.

*[The decisions on this item can be called in by the Corporate Overview Select Committee]*

**12 MONTHLY BUDGET MONITORING REPORT** (Pages 125 - 136)

This report presents the Council's financial position for 2018/19 as at 31 December 2018 for both revenue and capital budgets.

*[The decisions on this item can be called in by the Corporate Overview Select Committee]*

**13 EXCLUSION OF THE PUBLIC**

That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information under the relevant paragraphs of Part 1 of Schedule 12A of the Act.

## PART TWO - IN PRIVATE

- 14 COMMISSIONING OF DEMENTIA NAVIGATORS SERVICE** (Pages 137 - 140)
- This Part 2 report contains information which is exempt from Access to Information requirements by virtue of paragraph 3 – Information relating to the financial or business affairs of any particular person (including commercially sensitive information to the bidding companies).
- [The decisions on this item can be called in by the Adults & Lifelong Learning Select Committee]*
- 15 AGILE WORKFORCE DEVICE PROCUREMENT** (Pages 141 - 142)
- This Part 2 report contains information which is exempt from Access to Information requirements by virtue of paragraph 3 – Information relating to the financial or business affairs of any particular person (including commercially sensitive information to the bidding companies).
- [The decisions on this item can be called in by the Corporate Overview Select Committee]*
- 16 MICROSOFT ENTERPRISE LICENSE AGREEMENT RENEWALS** (Pages 143 - 146)
- This Part 2 report contains information which is exempt from Access to Information requirements by virtue of paragraph 3 – Information relating to the financial or business affairs of any particular person (including commercially sensitive information to the bidding companies).
- [The decisions on this item can be called in by the Corporate Overview Select Committee]*
- 17 PUBLICITY FOR PART 2 ITEMS**
- To consider whether the item considered under Part 2 of the agenda should be made available to the Press and public.

**Joanna Killian**  
**Chief Executive**  
Monday, 18 February 2019

## QUESTIONS, PETITIONS AND PROCEDURAL MATTERS

The Cabinet will consider questions submitted by Members of the Council, members of the public who are electors of the Surrey County Council area and petitions containing 100 or more signatures relating to a matter within its terms of reference, in line with the procedures set out in Surrey County Council's Constitution.

### **Please note:**

1. Members of the public can submit one written question to the meeting. Questions should relate to general policy and not to detail. Questions are asked and answered in public and so cannot relate to "confidential" or "exempt" matters (for example, personal or financial details of an individual – for further advice please contact the committee manager listed on the front page of this agenda).
2. The number of public questions which can be asked at a meeting may not exceed six. Questions which are received after the first six will be held over to the following meeting or dealt with in writing at the Chairman's discretion.
3. Questions will be taken in the order in which they are received.
4. Questions will be asked and answered without discussion. The Chairman or Cabinet Members may decline to answer a question, provide a written reply or nominate another Member to answer the question.
5. Following the initial reply, one supplementary question may be asked by the questioner. The Chairman or Cabinet Members may decline to answer a supplementary question.

## MOBILE TECHNOLOGY AND FILMING – ACCEPTABLE USE

Those attending for the purpose of reporting on the meeting may use social media or mobile devices in silent mode to send electronic messages about the progress of the public parts of the meeting. To support this, County Hall has wifi available for visitors – please ask at reception for details.

Anyone is permitted to film, record or take photographs at council meetings. Please liaise with the council officer listed in the agenda prior to the start of the meeting so that those attending the meeting can be made aware of any filming taking place.

Use of mobile devices, including for the purpose of recording or filming a meeting, is subject to no interruptions, distractions or interference being caused to the PA or Induction Loop systems, or any general disturbance to proceedings. The Chairman may ask for mobile devices to be switched off in these circumstances.

It is requested that if you are not using your mobile device for any of the activities outlined above, it be switched off or placed in silent mode during the meeting to prevent interruptions and interference with PA and Induction Loop systems.

*Thank you for your co-operation*

**SURREY COUNTY COUNCIL****CABINET****DATE:** 26 FEBRUARY 2019**REPORT OF:** N/A**LEAD OFFICER:** JOANNA KILLIAN, CHIEF EXECUTIVE**COMMUNITY COUNCIL  
VISION  
OUTCOME:****SUBJECT:** LEADER/DEPUTY LEADER/CABINET MEMBER DECISIONS/  
INVESTMENT BOARD DECISIONS TAKEN SINCE THE LAST  
CABINET MEETING**SUMMARY OF ISSUE:**

To note the delegated decisions taken since the last meeting of the Cabinet.

**RECOMMENDATIONS:**

It is recommended that the Cabinet note the decisions taken by Cabinet Members / Investment Board since the last meeting as set out in Annex 1.

**REASON FOR RECOMMENDATIONS:**

To inform the Cabinet of decisions taken by Cabinet Members / Investment Board under delegated authority.

**DETAILS:**

1. The Leader has delegated responsibility for certain executive functions to the Deputy Leader and individual Cabinet Members, and reserved some functions to himself. These are set out in Table 2 in the Council's Scheme of Delegation.
2. The Leader has also delegated authority to the Investment Board to approve property investment acquisitions, property investment management expenditure, property investment disposals and the provision of finance to its wholly owned property company, Halsey Garton Property Ltd.
3. Delegated decisions are scheduled to be taken on a monthly basis and will be reported to the next available Cabinet meeting for information.
4. **Annex 1** lists the details of decisions taken by Cabinet Members since the last Cabinet meeting.

**Contact Officer:**

Angela Guest, Democratic Services Officer, Tel: 020 8541 9075

**Annexes:**

Annex 1 – List of Cabinet Member Decisions

**Sources/background papers:** Agenda and decision sheets from the Cabinet Member meetings (available on the Council's website)

**CABINET MEMBER DECISIONS  
FEBRUARY 2019**

**(i) LEADER OF THE COUNCIL**

**DEED OF MODIFICATION RELATING TO DISPOSAL OF LAND**

**Details of decision**

The recommendations as laid out in the Part 2 report were agreed by the Leader of the Council.

**Reasons for decision**

The reasons for recommendations were as laid out in the Part 2 Report.

*(Decision taken by Leader of the Council – 1 February 2019)*

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**SURREY COUNTY COUNCIL****CABINET****DATE: 26 FEBRUARY 2019****REPORT OF: MRS SINEAD MOONEY – CABINET MEMBER FOR ADULTS****LEAD OFFICER: SIMON WHITE – DIRECTOR OF ADULTS SOCIAL CARE****COMMUNITY VISION  
OUTCOME: PEOPLE****SUBJECT: COMMISSIONING OF DEMENTIA NAVIGATORS SERVICE****SUMMARY OF ISSUE:**

Surrey County Council currently commissions The Alzheimer's Society, on behalf of the County Council and the Surrey NHS Clinical Commissioning Groups (CCGs), a Dementia Navigators service which provides vital support to Surrey residents following a diagnosis of dementia. The current contract ceases on 31 May 2019.

A Dementia Navigators service is a key provision identified in the Surrey CCGs Dementia Strategies as it supports the aspiration that *'people living with dementia and their carers live in dementia friendly communities where they feel empowered and know where to go to seek information, advice and help. That they have access to the care and support that enables them to live well at home for as long as possible and to die with dignity'*

The current service provides vital assistance to people following a diagnosis of dementia by helping them to navigate and connect with a range of services and support available in Surrey. The Dementia Navigators help support people to access benefits they may be entitled to, provide information about the illness and the dementia journey as well as help them access peer support groups or local activities to support individuals with dementia and their carers.

There are approximately 1,200 cases referred to the service per quarter, primarily referred by the dementia specialist nurse, the dementia early intervention service, general practitioners and adult social care staff.

This report sets out recommendations arising from work on options for the provision of the Dementia Navigators service and outlines the outcome of market engagement and a competitive procurement process which was carried out in order to select a supplier to deliver the service when the current contract ceases.

The procurement process is at the stage where Cabinet approval is required in order to award the contract to The Alzheimer's Society to commence the service from 1 June 2019. This is a joint contract between Surrey County Council (SCC) and the Clinical Commissioning Groups.

Because of the commercial sensitivity the details of assessment results have been circulated as a confidential Part 2 of this report.

#### **RECOMMENDATIONS:**

1. It is recommended that Cabinet approves the award of contract for the provision of Dementia Navigators to The Alzheimer's Society. This will enable a new contract to commence from 1 June 2019, enabling a smooth transition when the current contract ends on 31 May 2019.
2. Cabinet to note that the new contract will be in place for two years with the option to extend up to a further 24 months. The new contract will end on 31 May 2021, however if both extension years are used, the contract will end on 31 May 2023. This service will be delivered county wide and to North East Hants & Farnham.

#### **REASON FOR RECOMMENDATIONS:**

The existing Dementia Navigators contract will expire on 31 May 2019. A competitive tender process in compliance with the requirements of Public Contract Regulations and Procurement Standing Orders has been completed. The recommended supplier offered overall best value for money in the procurement process.

The proposal supports the Council's strategic obligation to deliver the Dementia Strategy commissioning intentions and the award of this contract will enable uninterrupted provision of the service and enable the Council to improve and meet objectives of providing service users with vital assistance following a diagnosis of dementia, showing how to access support & services available. It also reduces the likelihood of carer breakdown and alleviate some of the risks associated with supporting people who are living with dementia at home and in their local community. This contract will also generate benefits for Surrey and North East Hants & Farnham residents, as it will deliver an estimated £17,514 in Social Value.

#### **DETAILS:**

##### **Background**

1. Dementia is not a specific disease. It's an overall term that describes a group of symptoms associated with a decline in memory or other thinking skills severe enough to reduce a person's ability to perform everyday activities. Alzheimer's disease accounts for 60 to 80 percent of cases. Currently there are 850,000 people with dementia in the UK, with numbers set to rise to over 1 million by 2025. (according to the Alzheimer's Society)

At a Surrey Local context

- a) Just fewer than 14,000 older people are estimated to have dementia in Surrey. This equates to around 1 in 12 older people (over 65).
- b) By 2020 this is predicted to rise to over 17,000 older people.

- c) It is estimated that there are around 100 people with learning difficulties who have been diagnosed with dementia in Surrey. However it is well known that this number is significantly lower than the prevalence data predicts.
  - d) Most people with dementia have at least one other condition. A national study from 2007 showed that 59% of patients with dementia had two or more conditions. When providing care or treatment for someone with dementia, other conditions or illnesses must be taken into account.
2. The support needs of people with dementia and their carers are predicted to increase greatly over the coming years. Surrey has to be able to meet this rising demand.
3. Surrey's Dementia and Older People's Mental Health Joint Commissioning Strategy 2010-15, set out a vision to modernise dementia and older people's mental health services and meet the needs of our population, allowing people to manage their mental health conditions as close to home and as independently as possible. In those five years a great deal has been achieved, including the following:
- a) Countywide public awareness campaign for Dementia Friendly Surrey
  - b) Improved access to information and advice within the community and health settings through information boards, website reviews and developing local directory of services.
  - c) Established Dementia Local Implementation Groups responsible for developing local area responses to the Surrey strategy and developed a local pathway for each area.
  - d) Worked in partnership with borough and district councils to increase community based support for people with dementia.
  - e) Increased access to dementia training for the community and health and social care workforce and established a dementia training consortium.
  - f) Increased diagnosis rates across the county through local pilot schemes
  - g) Supported partnership working with care homes with area care home forums.
  - h) Supported the increase of telecare for people with dementia by accessing demonstration sites in each of the live Wellbeing Centres.
  - i) Worked with acute trusts to establish clinical leads at all acute hospitals in Surrey.
  - j) Improved information and services for end of life care with end of life care planning document.
  - k) Established a pool of dementia navigators across the county responsible for providing 1:1 support for people living with dementia and their families.
4. More recently, the strategies across Surrey Integrated Care Systems (*Surrey Heartlands Partnership and East Surrey Dementia, Surrey Heath Dementia Strategy and Hampshire Dementia Action Alliance, covering North East Hants and Farnham*) have been updated. The direction of the new strategies have been guided by the previous Surrey wide strategy and its outcomes. Additionally, there are also a number of policy statements and pieces of legislation that have informed their development, including:

- The Prime Minister's Challenge on Dementia in 2020 (Feb 2015).
  - The Care Act 2014.
  - Dementia: 'A state of the nation' report on dementia care and support in England (DOH, 2013).
5. The vision of each Strategy sets out an aspiration that *'people living with dementia and their carers to live in dementia friendly communities where they feel empowered and know where to go to seek information, advice and help. That they have access to the care and support that enables them to live well at home for as long as possible and to die with dignity'*. The three (3) strategy documents recognise and reflect the value of the Dementia Navigators service, from user and carer feedback, in supporting people living with dementia and their carers to live well during the life journey of dementia.
  6. The Dementia Navigators service is delivered across the whole of Surrey and therefore cuts across CCGs and Integrated Care System boundaries.

### **The Dementia Navigators Service**

7. The current service, provided by the Alzheimer's Society, was set up in response to the joint Surrey County Council / NHS Surrey Commissioning Strategy and Mental Health Service for Older People 2010-2015 which identified the need for improved information, guidance and support for individuals, their families and carers post dementia diagnosis. The Dementia Navigator service was commissioned jointly by health and social care.
8. From feedback through the performance and KPI measurements from the current provider user / carer survey, there is evidence that it has provided vital assistance to people following a diagnosis of dementia by helping them to navigate and connect with a range of services and support available in Surrey. The Dementia Navigators help support people to access benefits they may be entitled to, provide information about the illness and the dementia journey as well as help them access peer support groups or local activities to support individuals with dementia and their carers
9. The service is accessible in a number of ways. It can be accessed when someone has been formally diagnosed with dementia via the Surrey and Borders Memory clinic. If a resident has been diagnosed by consultants outside of this clinic, they can still access the service via their GP or self-referral. All clients and their carers who have had this diagnosis can be referred and can access the dementia navigator service at any stage post diagnosis up to the end of their life. This service is accessible to residents living in Surrey and/or who have a Surrey GP as well as their carers. Any resident of Surrey even if their GP is not in Surrey can still access the Dementia Navigator Service via the self-referral pathway in to the service as long as they have a formal diagnosis of dementia.

## Demand and Contract Volumes

10. In terms of the existing service, the activity and performance for the period 2017-2018 was as follows:

- 1169 clients received a service
- 1438 new cases were referred
- 89% went on to have a service, whilst only 15% only needing advice and information and only one initial contact

11. The source of referrals into the service has significantly changed. During 2017/18 the main sources of referrals were from the Community Mental Health Teams 25% and from Carers 18%.

12. However, during the 2018/19 period, there has been an investment by the CCG's in Dementia services (Specialist Nurse & Early Intervention Service) which has significantly shifted the referral source in recent months. The main routes of referral are now as shown in the table below:

Source of Referral	Percentage
Dementia Specialist Nurse	41%
Early Intervention Service	16%
GPs	11%
Adult Social Care	11%

13. The feedback (annual survey) on the current service is very good with the following data extracted:

- 90% of people with dementia who responded said that the dementia navigator (DN) gave help and support
- 81% replied that the DN had helped them to understand dementia
- 68% felt it had helped reduce isolation

## Procurement Strategy

14. Following two market engagement events which were held on 22 May 2018 and 1 November 2018 which attracted an audience of approximately 30 providers on both days, SCC ran a compliant OJEU tender process. The process commenced on 9 November 2018 and ended on 10 December 2018 by the means of an advertisement which sought interested suppliers to complete the tender process.

15. The benefits which will be generated by the implementation of the new contract are:

- a) The recommended provider has committed to reaching a minimum of 1440 service users per quarter rather than the stated minimum of 1200 per quarter, therefore there is a benefit to SCC and the CCGs of £87,439.60 as we will be able to support more people for the same amount of money. The SCC specific portion of this benefit will be £22,810 and the remaining £64,629.60 will be a benefit to the CCGs.

- b) There is an additional benefit to SCC of £2,280, which is due to a cost avoidance of 2% inflation due to the contract price remaining the same as previous years. This savings figure relates only to the SCC contribution to the funding of the contract.
- c) The Social Value benefits over the course of the contract total an estimated £17,514. The rationale for this calculation is provided in the Part 2 document, essentially the recommended provider has committed to the following:
  - Work experience opportunities offered to local people
  - Job opportunities offered to local long term unemployed
  - Local volunteering initiatives

It will be the role of the contract manager (Senior Commissioning Manager for Adults) through contract monitoring meetings every six months to ensure the Social Value commitment is delivered over the life of the contract.

- 16. Detailed assessment of the offer received is circulated in Confidential Part 2 of the report.
- 17. The detailed information about the procurement process is contained within background paper ANNEX 1.

#### **CONSULTATION:**

- 18. Public engagement events have been undertaken with users and carers led by Surrey County Council in collaboration with representatives from Surrey and North East Hants & Farnham CCGs. Service user consultation has also taken place in various forms including face to face meetings to obtain feedback on the current service delivery and what they felt would enhance this service. Furthermore, two service user carers have also been involved with the evaluation and moderation of any tender submissions.
- 19. In addition to the SCC staff from Adults Social Care and Orbis Procurement, Finance and Legal, Commissioning colleagues representing the CCGs have been involved at all stages of the commissioning and procurement process, including - developing the strategy, designing the specification, inviting and evaluating tenders and agreeing the contract award.

#### **RISK MANAGEMENT AND IMPLICATIONS:**

- 20. The contract includes the following Termination Clause, 'The Council may terminate this Contract at any time giving six (6) months written notice to the Service Provider'. This will allow the Council to terminate the contract within six months.
- 21. The recommended tenderer successfully completed satisfactory financial checks.
- 22. The following key risks associated with the contract have been identified, along with mitigation activities:

Category	Risk Description	Mitigation Activity
Performance	The provider has identified the requirement to increase the volunteer resources to deliver some of the support to carers	Regular meetings with the provider to review their resourcing plan. Part of the contract mobilisation process

#### **Financial and Value for Money Implications**

23. The total value of this service over the life of the contract (including the extension years) is £1,748,792. Of this, SCC's contribution will be £456,212 and the CCG's contribution will be £1,292,580. The CCGs have confirmed they are committed to providing the funding for the duration of the contract.
24. The procurement activity has delivered a solution within budget.
25. The cost of the contract will remain the same, however more service users will be reached.

#### **Section 151 Officer Commentary**

26. The County Council is facing a very serious financial situation, whereby there are still substantial savings to be delivered to achieve a balanced budget in the current year and a sustainable budget plan for future years. The Section 151 Officer can confirm that the proposed contract award for the Dementia Navigators service is within the current budget set for this service in the Council latest budget plan. The award of this contract will not deliver cashable savings to directly contribute towards the savings that the Council needs to achieve in the coming years. However, it will maintain continuity of service delivery and avoid additional costs that would be expected to be incurred across the whole health and social care system if the service was no longer provided.

#### **Legal Implications – Monitoring Officer**

27. The Council is responsible for the delivery of adult social care services in its area by virtue of Section 1 of the Care Act 2014. Under Section 4 of the Act, the Council "must establish and maintain a service for providing people in its area with information and advice relating to care and support for adults and support for carers". The Dementia Navigators contract is intended to assist the Council in fulfilling this legal duty.
28. Furthermore, under Section 3 of the Local Government Act 1999, the Council "must make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness." In furtherance of this duty, the Council has worked closely with NHS colleagues as part of the procurement process to ensure the contract will be as effective and efficient as possible, in addition to maintaining existing spend.
29. The Council has acted as the lead commissioner for the Council and its NHS partners. A competitive procurement process in compliance with the Public Contracts Regulation 2015 and the Council's own Procurement

Standing Orders has been followed. As the lead commissioner, the Council will be accepting the contract risk for the whole contract with the successful tenderer. A separate agreement between the Council and the CCGs has been prepared to ensure that risks and liabilities are then shared between the partners appropriately.

30. Cabinet will need to consider the results of the Equalities Impact Assessment available as a background paper to this report. Cabinet will also need to determine whether the proposed award is an appropriate course of action for the Council. In deciding, Cabinet should be cognisant of its fiduciary duties to Surrey residents in managing the Council's limited financial resources.

### **Equalities and Diversity**

31. An equalities impact assessment has been written and is available as a background paper. The EIA is prepared by the Council and CCG representatives and not related to the current or recommended provider. The '**summary of key impacts and actions**' section is shown below:

<p><b>Information and engagement underpinning equalities analysis</b></p>	<p>As part of the review of the Dementia Navigator service and re-tender process stakeholder groups were engaged and consulted with.</p> <p>These included:</p> <ul style="list-style-type: none"> <li>• Commissioners from Clinical Commissioning Groups (including a lead for Mental Health)</li> <li>• Clinical Professionals</li> <li>• SCC Commissioners</li> <li>• SCC Procurement</li> <li>• SCC Finance</li> <li>• SCC Legal</li> <li>• IMT</li> <li>• Users / carers</li> <li>• Dementia Support groups</li> <li>• District and Boroughs</li> </ul> <p>A series of meeting and workshops were held to collate feedback and views on how this current service operated and what improvements could be made.</p>
<p><b>Key impacts (positive and/or negative) on people with protected characteristics</b></p>	<p>In respect of the negative impacts there is no proposed change to eligibility criteria for this service.</p> <p>In respect of the positive impacts people in receipt of this service will experience the following enhancements over the existing service:</p> <ul style="list-style-type: none"> <li>• Improved accessibility and targeted approach to individuals with a Learning disability who have been diagnosed with dementia and those people of working age who have been diagnosed with Young Onset Dementia.</li> <li>• Improved support for individuals diagnosed with Dementia and their carers across ethnic groups and harder to reach groups living in</li> </ul>

	<p>Surrey, to empower and build connections with local support networks, agencies and organisations to build resilience to continue living in their communities.</p> <p>Overall this improved service based on enhancements above will lead to better outcomes and improved “Customer Experience”.</p> <ul style="list-style-type: none"> <li>• Better and improved outcomes from KPI performance measures to share across Health and Social care systems, reflecting the needs of the populations of people and their carers living with dementia in the communities.</li> </ul>
<b>Changes you have made to the proposal as a result of the EIA</b>	There are no changes to the proposal as a result of the EIA.
<b>Key mitigating actions planned to address any outstanding negative impacts</b>	<p>There are foreseen negative impacts relating to the proposed changes to this well-established service as reasoned in section 7 for either service users or staff.</p> <ul style="list-style-type: none"> <li>• Safeguarding issues need to be considered, particularly for people with learning disabilities or mental health needs, who may be more vulnerable in some community situations.</li> <li>• The service will need to do some targeted work with some ethnic/cultural groups for whom dementia is not recognised and support available to them is not accessed in the traditional manner.</li> <li>• The Lesbian, Gay, Bi sexual and Transgender (LGBT) individuals who have been diagnosed with dementia may not access the service, if they believe they will be stigmatised. Additional consideration and empathy may need to be evidenced by the provider when dealing with same sex couples.</li> </ul>
<b>Potential negative impacts that cannot be mitigated</b>	<p>There are foreseen negative impacts relating to the proposed changes to this well-established service as reasoned in section 7 for either service users or staff.</p> <ul style="list-style-type: none"> <li>• There is limited specialist community provision for gender reassignment, individuals may be isolated or estranged from their families this limiting their opportunities to ask for help or access this service.</li> </ul>

32. As there is an existing contract in place, the TUPE regulations will apply to this contract should a different provider be awarded the contract.

**WHAT HAPPENS NEXT:**

33. The timetable for implementation is as follows:

<b>Action</b>	<b>Date</b>
Cabinet decision to award (including the end of 'call in' period)	05/03/2019
'Alcatel' 10 day Standstill Period ends	16/03/2019
Contract Signature	20/03/2019
Mobilisation Planning	20/3/2019 onwards
Contract Commencement Date	01/06/2019

**Contact Officer:**

Chris Esson, ASC Senior Commissioning Manager,  
[christopher.esson@surreycc.gov.uk](mailto:christopher.esson@surreycc.gov.uk), 07792 133386

**Consulted:**

- SCC Adults Commissioning
- Finance
- Legal
- Clinical Commissioning Groups
- User and carers

**Annexes:**

Procurement Process **ANNEX 1**  
 Confidential Part 2

**Sources/background papers:**

- Equality Impact Assessment
- Surrey Heartlands Partnership and East Surrey Dementia Strategy
- Surrey Heath Dementia Strategy

## Annex 1 – Procurement process

Summary of Procurement process in respect of the contract for Dementia Navigators service.

The Sourcing Governance Board (SGB) considered a number of options for route to market on 8 June 2018.

The preferred option was to carry out a full and open OJEU tender as there were no further extension periods available to use within the current contract.

Further opportunities to collaborate with an Orbis partner were also explored but due to the nature and requirements of the service this was deemed as not viable at this time.

The preferred option allowed us to test the market, which hadn't been done since 2016, meaning that we could undertake a full review and redesign the Dementia Navigators specification taking into account the feedback of clients and carers. This enabled co-designing with the CCGs and opportunity to look at new and innovative ways to improve the service.

Participation in the open tender procedure was accessible to all companies who wished to take part and action was taken to stimulate interest in the contract opportunity through a series of engagement events and communication via the e-Sourcing portal Intend.

1. Market engagement events were held on 22 May 2018 and 1 November 2018 and were well attended.
2. The tender commenced on 09 November 2018 and four providers indicated they would submit a tender.
3. By the deadline of 10 December 2018, tenders were received from one tenderer.
4. The three providers who did not submit a bid were contacted to understand the reasons behind this; two providers explained the TUPE implications were prohibitive and one provider said they did not have enough time to complete their submission.
5. The tender submission that was received was evaluated by a panel consisting of Commissioners from Surrey County Council and the Clinical Commissioning Groups and service user/carer representatives.
6. Following evaluation, a moderation session took place to agree consensus scores for the provider. Clarification questions were sent to the provider after moderation to answer to ensure compliance with delivering the service.
7. All tenderers were informed of the preliminary outcome of the procurement process following approval to award from SGB and CCG governance boards and that the formal tender results are subject to the Cabinet approval to award the contract.
8. Performance of contracts will be monitored through a series of Key Performance Indicators by the Senior Commissioning Manager through contract monitoring meetings every six months.

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**SURREY COUNTY COUNCIL**

**CABINET**

**DATE: 26 FEBRUARY 2019**

**REPORT OF: JULIE ILES, CABINET MEMBER FOR ALL AGE LEARNING**

**LEAD OFFICER: LIZ MILLS, DIRECTOR OF EDUCATION, LIFELONG LEARNING AND CULTURE**

**COMMUNITY PEOPLE**

**VISION**

**OUTCOME:**

**SUBJECT: SURREY PERFORMING ARTS LIBRARY- EVALUATION OF NEWSPAL BUSINESS PLAN**



#### **SUMMARY OF ISSUE:**

The Surrey Performing Arts Library (SPAL) was relocated to Ewell library on an interim basis in September 2018 to provide continuity of service to users whilst making financial savings.

The collection, developed over several decades, plays a significant role in supporting the cultural life of the county. As such, Surrey County Council (SCC) must exercise due diligence and have regard to its future well-being.

SPAL is a specialist and non-statutory service. It had previously been identified that full savings from SPAL and additional benefits could potentially be delivered if the SPAL collection and its operation were transferred to a new charity, NewSPAL. The new form of governance would enable the organisation to develop its own clear identity and attract funding and support that would not be possible if the SPAL remained part of SCC. Transfer of the collection to NewSPAL will enable the collection to be promoted and used more widely. It will also provide the opportunity to re-invigorate the collection and secure investment to give the service a sustainable future for Surrey residents and groups.

To this end, NewSPAL was developed by interested users and stakeholders (such as Making Music and Friends of SPAL) as a distinct organisation and registered with the Charity Commission in January 2018. The charity has no connection with Surrey County Council.

On 26 June Cabinet agreed a recommendation that NewSPAL should be invited to prepare a comprehensive business plan to take on, manage and sustain the collection, keeping it available to the public and giving it a future independent of the County Council. After an agreed transition period of 2 – 3 years SCC would no longer have responsibility for the collection.

NewSPAL has now presented its business plan which has been consulted upon and evaluated. This report summarises the evaluation and the reasons for the recommendations.

<b>RECOMMENDATIONS:</b>
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It is recommended that:

1. Approval be given for NewSPAL, using the current SPAL collection and equipment, to offer a Performing Arts Library service to the public.
2. Authority be delegated to finalise the phased transfer of the collection and equipment on a conditional basis for a defined period to the Director of Education, Lifelong Learning and Culture and the Cabinet member for All Age Learning in anticipation of a final unconditional transfer and gifting of the collection and equipment.
3. The responsible officer should agree a set of performance measures with NewSPAL throughout the transition period in order to evaluate progress and performance and inform the final decision by SCC on the transfer.
4. Approval is given for officers to set a deadline for completion of the lease negotiations between NewSPAL and Woking Borough Council that is appropriate with the transition period.
5. Approval is given to the responsible officer to report annually on progress towards the final transition to the Cabinet Member for All Age Learning.
6. The final decision on unconditional transfer and gifting of the collection and equipment to be taken by the Cabinet at the end of the transitional period.

<b>REASON FOR RECOMMENDATIONS:</b>
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The public consultation on options for the future for the Surrey Performing Arts library carried out in 2017 indicated a strong level of public support for an independent future for the service which would provide new opportunities for development and funding streams not currently available.

NewSPAL's proposals have received expressions of support from potential users. They have presented a business plan which on evaluation by officers is seen to be capable of delivering an independent future, keeping the collection available to the public and helping preserve part of a national network of performing arts libraries. The viability of the new operating model will be tested during the two-three year transition period before the Cabinet is asked to consider a final transfer.

Officers will agree a set of performance measures and milestones with NewSPAL for the transition period to ensure that options for the future of the collection can be brought back to SCC should NewSPAL meet barriers that they cannot overcome. The recent public consultation on NewSPALs service offer has indicated a high level of support for NewSPAL taking on the service - with respondents stating they would use the new service as often as they use the current service. This level of support extends to the potential new location of Woking and any other location should Woking not materialise.

<b>DETAILS:</b>
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1. The library service has met and worked with NewSPAL since its inception. NewSPAL has produced a full business plan setting out its aims and aspirations and how it intends to achieve them. As the business plan is comprehensive NewSPAL were invited to provide a letter summarising its business plan and this is attached as annex A.
2. The business plan covers how the charity NewSPAL is set up, its objectives, organisation and structure. The objectives of the charity as expressed on their Charity Commission page are:
 

“The promotion, improvement, development and maintenance of public education in, and appreciation of, the art and science of music, drama and other performing arts through the provision of a lending library of musical, dramatic and other performing arts material and literature.”
3. NewSPAL has established itself as a Charitable Incorporated Organisation (CIO) - a form of legal entity which combines the benefits of charitable status with those of an incorporated limited liability company. As a CIO NewSPAL is legally able to deliver all the tasks and functions necessary to operate a community enterprise (such as owning or leasing premises, entering into contracts and employing staff) but it is not permitted to pay any dividends or distribute any profits to its members. Any profits must be reinvested in the services it provides. It will have up to eight trustees (unpaid) and its first trustees are individuals with a good depth of knowledge of the Performing Arts, the needs of users, and a range of skills and experience.
4. NewSPAL will review the payment structure and its offer will differ from that of SCC in several areas. Non-group users will pay a subscription to become members of the library; for users not collecting and returning on-site, there will be a chargeable direct home delivery courier/drop box service replacing the current free collection/delivery points at Surrey and West Sussex libraries; the bespoke performing arts IT system will result in a more flexible and user friendly catalogue giving users more control over their requests and accounts on a 24 hour basis compensating for initial shorter opening hours. A comparison of the SCC SPAL service offer and the proposed NewSPAL service offer is attached at Annex B.
5. NewSPAL and SCC will work together to transfer the management and eventual ownership of the collection through an agreement signed by both parties covering performance and financial information. There will be a transition period during which the collection and equipment will be conditionally loaned to NewSPAL. This transition period is expected to last between two and three years. The agreement will detail the train of events should those agreed conditions not be met. On successful completion of transfer arrangements SCC will no longer have any influence over, or responsibility for the collection in the future and NewSPAL will operate completely independently of SCC. It should be noted that NewSPAL will be able to change the title by which the collection is known and branded if they so wish. Should there be no successful completion of transfer arrangements, the material will remain in the ownership of SCC and a decision made upon its future at that point.

## **CONSULTATION**

6. In August 2017, SCC launched a consultation on the future of the SPAL on which the majority supported the option for an independent future (62% either agreed or strongly agreed with the option to transfer ownership either in part or full to a community or other organisation on the understanding that the stock would continue to be available to the public).
7. Based on that reaction from users, the Cabinet at its meeting on 26 June 2018 felt that the support for NewSPAL, as the charity with the potential to take on the service, was such that they invited NewSPAL to prepare a comprehensive business plan. Subsequently NewSPAL presented their business plan and SCC, as a statutory requirement because of the proposed changes to the service offer, ran a public consultation from 19 December 2018 to 3 February 2019. This was made available on line, with hard copy on request and was promoted by email to library users, posters in libraries, social media, Surrey Matters and via FOSPAL.
8. Results of the most recent survey indicate a high level of support for NewSPAL taking on the service – with 58.0% “strongly agreeing” and the a further 26.1% “agreeing” – total 84.1%; and across a range of questions relating to changes to the service under the NewSPAL model respondents generally indicated that they would use the new service as often as they use the current service. Summary of analysis is attached at Annex C.
9. The consultation referenced Woking as a new location for SPAL – 70.8% of the respondents “strongly agreeing” or “agreeing” with this proposal. In response to a further question about the impact of a move to a location other than Woking, 71.1% indicated they would use the service as much as they do now. Thus, should NewSPAL need, for any reason, to subsequently find premises elsewhere the location of SPAL does not appear to be an issue with users.

## **RISK MANAGEMENT AND IMPLICATIONS**

### **Business Plan Evaluation**

10. Officers from the library service, Finance and Legal have evaluated NewSPAL’s Business Plan. SCC is sensitive to the importance and value of the SPAL collection, largely bought from public money, to both its users and national performing arts. Consequently it wishes to ensure as far as possible that NewSPAL can effectively take on, manage and sustain the collection, keeping it available for the public in the long term.
11. The library service has worked with NewSPAL while they have been developing their business plan. While recognising that NewSPAL will have a new life, identity and aspirations of its own, during this period the library service has asked for attention in the business plan to a number of areas in the interest of users and to transition planning to which NewSPAL has positively responded.
12. It should also be noted that NewSPAL have been successful in achieving significant financial support from pledges in a short time and so while there

may be inevitably some element of risk in transfer to a newly established organisation it has to date demonstrated commitment to a business-like approach about taking on the responsibility of the library and achieving an independent future.

13. To reduce risks currently an agreement is being drawn up which will be signed by SCC and NewSPAL outlining the roles of both parties and terms and conditions of the conditional loan period of the collection. Ownership of the collection will remain with SCC until it is mutually agreed that NewSPAL is financially stable and ready to be independent at which point the collection will be gifted to NewSPAL free of charge.
14. The transition period of 2 – 3 years has been put in place to manage the risk that NewSPAL are not able to deliver a sustainable business model during that time. The risk of loss of the collection for public access is addressed by the provision that if SCC and NewSPAL are unable to achieve a satisfactory mutual agreement regarding any final transfer then the material will remain in the ownership of SCC and a decision made upon its future at that point.
15. NewSPAL will be required to make its own arrangements with Making Music regarding the Kirby collection and the smaller amount of material in the collection from SEPSIG will similarly require NewSPAL to negotiate. SCC will set out a number of requirements which NewSPAL will be asked to complete before the conditional loan of the collection starts, and during this period NewSPAL will be required to share regularly a prescribed list of information including accounts, statistics, and other information which SCC requires which will allow it to assess progress towards suitability for independence.

### **Finance Evaluation**

16. Previous changes to staffing and charges together with the current interim placement of the SPAL collection at Ewell library has provided savings of approximately £150,000 (of the original £180,000 required) and is set to release the cost of its previous premises.
17. While SPAL remains within the library service, as a non-statutory part of the service, it will be subject to local government pressures. Aside from the transfer of stock furniture and equipment the County Council is not making any financial contribution to NewSPAL. It would operate independently from the County Council. In order to demonstrate how it would operate NewSPAL have produced a medium term business plan.
18. Currently there are no known local authority performing arts libraries that operate without some form of subsidy. The business plan intends to address this by keeping costs low, maintaining/increasing earned income, and accessing additional funding.
19. One large cost saving is through the expected rent free provision of accommodation which has been offered by Woking Borough Council. This has not been formally confirmed and whilst this support is a very welcome cost reduction, it does introduce an element of risk over future cost increases

if this subsidy is withdrawn and rental charges introduced. This will need to be borne in mind for NewSPAL's longer term financial planning.

20. Another cost saving is through the reduction in operating hours and a low planned level of staffing, possibly supplemented by volunteers. This could potentially be at odds with the business plans intention to grow the business.
21. The business plan takes a prudent approach to the expected level of continuing subscriptions, by basing elements on 75% continuation. To partly supplement this the intention is to introduce subscription fees for individual users, who currently borrow stock free of charge as part of the current service offering. This is expected to be the service's highest subscription income, generating an estimated £15,000 of the projected £38,000 annual subscriptions total. With an estimated operating surplus of only £11,000 from the second year onwards, the service will be very reliant upon these subscriptions and could prove difficult if the expected level is not achieved.
22. In order to set up an agreed reserve and be able to fund initial set up costs to enable operations to start, NewSPAL will need to raise enough funding to cover a significant amount of their first year's operating costs up front in advance of any transfer. The business plan does not currently contain a cash flow forecast to show the level required but it is estimated it could be up to £100,000. The forecast will need to be provided with required funding in place before the conditional transfer can be finalised and actioned.
23. The NewSPAL trustees are well known and experienced within the field. They have already been successful in generating significant pledges of financial support. In order to fund the above these will need to be converted into actual donations before the transfer is actioned.

### **Legal Services Evaluation**

24. The CIO model offers the Council some comfort in the future operation of NewSPAL. Assets are "locked" in such organisations, they cannot be "sold off" and must also be passed to a similar organisation should the NewSPAL CIO close for any reason. The objects of the CIO (i.e. what the CIO exists to do) are also subject to approval by the Charities Commission and could only be changed with their consent.
25. The business plan acknowledges the significant legal and regulatory requirements involved in establishing and operating a new CIO. The plan places a heavy reliance on pro bono expert advice on an ongoing basis. NewSPAL may need to meet additional costs in order to successfully develop its offering and remain legally compliant should this free advice not be forthcoming.
26. Various additional funding routes are identified in the business plan. The potential for grant funding from other bodies is particularly highlighted. Given that no applications have yet been made, it is impossible to state with any level of certainty whether they will be successful. However, the initial trustees are expert in their fields and as such should be aware of suitable funding schemes and how to access these.
27. The date of the conditional loan of the stock to NewSPAL commencing is as yet undetermined and is subject to a number of pre-conditions including

securing a lease of the premises and re-cataloguing the existing stock (while it is at Ewell Library). These pre-conditions are outside of NewSPAL's sole control and as such delays to their anticipated timetable may occur.

#### **SECTION 151 OFFICER**

28. There are a number of risks associated with the transfer of stock and sustainability of these new arrangements. These include, the timing of income and expenditure, which could lead to cash flow problems; the assumption of a five year rent free period and potential subsequent increases in costs; maintaining and developing income in light of the downward trend in recent years and the introduction of new charges, and subscriptions for individual users, which did not previously exist; and, generating donations and/or fund raising in order to fund initial set up and potentially ongoing running costs.
29. In order to mitigate these risks, it is proposed that the stock will transfer to NewSPAL as a conditional loan for a period of at least two years until the ongoing viability of the new arrangements has been demonstrated. During this period the stock will remain under the ownership of and be insured by Surrey County Council. It is therefore essential that a robust financial assessment is undertaken before any unconditional transfer is actioned.
30. In order to further protect the Council from potential future costs, the S151 officer recommends that the shelving and rolling stock are also transferred initially as a conditional loan, and the level of financial reserves on transfer date includes a provision for the cost of returning all Council Assets.
31. It is also recommended that NewSPAL provide a cash flow forecast in order to establish the level of funding required to be raised before the transfer can be actioned and operation started. This should be provided before the Agreement is finalised.

#### **LEGAL IMPLICATIONS – MONITORING OFFICER**

32. The Council is under a general statutory duty by virtue of Section 7(1) of the Public Libraries and Museums Act 1964 'to provide a comprehensive and efficient library service for all persons'. SPAL falls outside of this general duty due to its specialist nature and as such is a discretionary service. Notwithstanding this, the Council is subject to the normal public sector requirements for consultation, equities and to deliver best value in considering future operating models for SPAL.
33. Following receipt of NewSPAL's business plan, a new consultation into the future of the Surrey Performing Arts Library took place between 19 December 2018 and 3 February 2019. The full results are annexed to this report. In considering the proposals, members must give due regard to the results of the consultation and conscientiously take these matters into account when making a final decision.
34. The public sector equality duty contained in Section 149 of the Equality Act 2010 applies to the decision to be made by Cabinet in this report. This duty requires Cabinet to have due regard to the need to advance equality of opportunity for people with protected characteristics, foster good relations between such groups, and eliminate any unlawful discrimination. These

matters are dealt with in the equalities paragraphs of the report below, and in the attached equalities impact assessment (EIA). Cabinet must take into account the equality impacts identified in the EIA, together with any relevant mitigation highlighted in the action plan.

35. The Council is under a 'best value authority' by virtue of Section 3 of the Local Government Act 1999 and must "make arrangements to secure continuous improvement in the way in which functions are exercised, having regard to a combination of economy, efficiency and effectiveness". In making its decision Cabinet will need to balance the efficiency savings required, ensuring the effective delivery of the main statutory library service and the potential future delivery of SPAL in any form.
36. Cabinet is being asked to approve a conditional transfer of the existing SPAL stock and equipment to NewSPAL. Following a transitional period, a further report will be brought to Cabinet prior to any unconditional transfer being made. The transfer agreement will contain safeguards for the existing stock and equipment during the transitional period. Legal Services is instructed on preparing the transfer agreement between NewSPAL and the Council.

#### **EQUALITIES AND DIVERSITY**

37. An Equalities Impact Assessment of NewSPAL's business plan has been completed.
38. NewSPAL has yet to finalise a location but have had advanced discussions with Woking Borough Council and identified a potential site within the town centre.
39. **Potential Negative Impact:** The proposal may result in users needing to travel a greater distance to obtain the service, which may incur greater cost, inconvenience and time.

This may have a negative impact on the following protected groups:

- Disability, Pregnancy & Maternity, Carers due to reduced accessibility.
- Age and Sex due to greater representation of older female users of this material.

40. **Potential Positive Impact:** The transition of the collection into Woking would result in greater accessibility and exposure to the public of the collection.

The proposal may result in users needing to travel a shorter distance to obtain the service, which may incur less cost, inconvenience and time.

This may have a positive impact on the following protected groups:

- Age, Disability, Pregnancy & Maternity and Carers due to improved accessibility.
- Age and Sex due to greater representation of older female users.
- Race and Religion and belief due to greater representation in the locality of White Other, Pakistani and Muslim population.

41. Key mitigating actions planned to address any outstanding negative impacts. Putting in place a variety of collection/delivery options. Consideration to be given following user feedback on opening hours.
42. Potential negative impacts that cannot be mitigated. None identified.

#### **WHAT HAPPENS NEXT:**

43. The stages of the transition will be
- a. Signing of an agreement between NewSPAL and SCC including a conditional loan of the stock.
  - b. A setting up period when NewSPAL deals with establishing its premises including furniture and fittings (to be transferred from the library service), staff, business arrangements, new IT system, transfer of catalogue details onto the new system, registration of members and promotion of the new service. During this period SCC will continue to run the service from Ewell. Note: SCC will not be making any contribution to the costs of installing equipment or moving the collection to NewSPAL's premises.
  - c. During the conditional loan period, NewSPAL will run the service from its premises and become financially and managerially responsible for the service while the collection stays the property of SCC and contact will be maintained.
  - d. The agreement will include a range of requirements for both partners including sharing of information and data which will provide SCC with a view of how NewSPAL is progressing towards a level of financial security and stability where it would be appropriate to unconditionally transfer, free of charge, the SPAL collection permanently to NewSPAL. This could take up to 2 or 3 years.
  - e. Once the unconditional transfer has been made, SCC will no longer have any influence over, or responsibility for the collection in the future and NewSPAL will operate completely independently of SCC.
44. The Library Service will work with NewSPAL to keep users fully informed during the transfer process.

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#### **Contact Officer:**

Lesli Good, Interim Assistant Director, Libraries, Culture and Life-Long Learning.

#### **Consulted:**

Legal and Finance officers, NewSPAL and via that organisation the general public, library members.

#### **Annexes:**

Annex A - Summary of NewSPAL business case

Annex B - Comparison of services

Annex C - Summary of public consultation - 19 December to 3 February 2019

Annex D - Equalities Impact Assessment

#### **Sources/background papers:**

NewSPAL business plan

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# NewSPAL

The performing arts library in Surrey

25 January 2019

To members of the Cabinet  
of Surrey County Council

Dear Cabinet members,

## **Surrey Performing Arts Library**

We wrote to you in November 2018 at the time we submitted to your officers a comprehensive business plan supporting our proposal to take over the performing arts collection (the **SPAL collection**) formerly housed in the Surrey Performing Arts Library (**SPAL**) at Denbies, Dorking. We were requested by you to produce such a plan at your meeting in June 2018 for consideration by you in Autumn 2018. We did so. Your officers then advised that our proposals should be the subject of a formal public consultation, the results of which would help inform your decision. We have been told the you will make your decision at your meeting on 26 February. While the further three month delay in a decision being taken is unfortunate we have nevertheless welcomed the additional opportunity for users of the SPAL collection and others to give you their views. Other than in relation to the timing implications arising from the further three month delay in a decision being taken, there are no other substantive changes to our proposal. We now seek your final agreement to enable us to implement it.

NewSPAL is an independent charitable incorporated organisation which was specifically set up in January 2018 by users and supporters of SPAL with the sole objective of giving the SPAL collection a revitalised long-term sustainable future in the charitable sector for the benefit of current and future generations of users and prospective users.

### ***What the plan envisages***

Our plan envisages a carefully planned and phased transfer of the SPAL collection from the Council to NewSPAL. Although a great deal of preparatory work has been done, until Cabinet approves the plan and agrees to allow NewSPAL to implement it we cannot move to the next steps. We cannot, for example, call in pledges of funding from supporters and grant-awarding trusts. Nor can we proceed to enter into contractual commitments with third parties (e.g. take on the lease of the premises in Woking which have been offered to us or purchase the bespoke IT system from Nottingham Performing Arts Library which will deliver more cost-effective services for groups).

To safeguard the public interest, the plan includes a range of conditions which NewSPAL will need to satisfy before the initial transfer of the SPAL collection (by way of a conditional loan) can take effect. These include NewSPAL raising all the money required to fund the transition and to provide a financial reserve for the early months of operation. We are confident that we will be able to meet those conditions.

When NewSPAL has demonstrated its financial viability for a period (expected to be approximately two years), the SPAL assets will be transferred unconditionally to NewSPAL.

### ***The principles which underlie our proposal***

Our proposal is about preserving, re-invigorating and investing further in a highly valued service and giving it a sustainable future.

We aim to:

- mirror, so far as possible and consistent with our charitable obligations, the public service ethos which has historically guided the Council's stewardship of the SPAL collection
- continue to provide a broad collection of materials relating to all the performing arts accessible to both individuals and groups
- ensure that NewSPAL is and remains financially viable by investing in systems which increase efficiency, by careful cost control and by increasing income primarily from increased usage of the SPAL collection by a wider and more diverse range of users both in Surrey and beyond
- recognise that the SPAL collection has been built up over many years through investment by the Council but also from donations from Surrey residents and others by making continuing to serve Surrey residents and Surrey-based performing arts groups the core of our mission
- ensure high standards of service for users by recruiting, training and retaining experienced professional staff with relevant specialist knowledge and a personal commitment to maintaining and enhancing the SPAL collection and the service
- offer volunteering opportunities to members of the community who wish to help us enhance and expand the service
- invest in the SPAL collection through active fund-raising and a carefully managed process for encouraging donations (for example, from closing libraries elsewhere and from individual or group donations of potential stock)
- encourage individuals interested or engaged in any of the performing arts to discover the resources available to them in the SPAL collection
- actively promote the SPAL collection and service through a programme of marketing, events and social media contacts - including to groups and individuals who do not currently use the SPAL collection.

We cannot replicate the network of local libraries through which individual borrowers can currently reserve and collect items. However, we will seek through the use of innovative methods (such as delivery and return arrangements using commercially available secure drop boxes in accessible locations) to provide a range of options for users. We are open to any bi-lateral proposals from the Council which would broaden the range of options.

As an independent charity we must, by definition, be entirely self-financing. We must cover all our operational costs from income derived from users, from donations and from fund-raising. Any surplus income will be re-invested in the service. We cannot promise that charges will not rise, nor can we justify

providing free services to some users at the expense of others. However, this will be a service led by, and for, users and we will seek to maintain affordable access to the SPAL collection for all members of the community (including those on low incomes, in education or with disabilities).

It is important to recognise that the NewSPAL proposal is not that NewSPAL should operate and manage the SPAL collection as a contractor, agent or partner on behalf of the Council. The essence of the proposal is that (1) NewSPAL (an independent charity) will fund, set-up and run a new library (in Woking) and performing arts study and lending service and (2) the Council will donate to NewSPAL the SPAL collection. The shared objective is to preserve and re-invigorate a hugely valued collection and service and give it a long-term sustainable future in the charity sector for the benefit of current and future generations of users and potential users.

### ***Why we think it will work***

We are fully conscious that our proposal is both ambitious and challenging. In the face of its own challenges, the Council has declared its intention to be innovative in finding new ways in which services valued by residents can continue to be available to them. We think our proposal is entirely consistent with the transformation agenda espoused by the Council.

SPAL has already changed substantially. It is no longer a separate and easily identifiable library within the Surrey Libraries network. It is no longer managed by specialist staff with deep knowledge of the SPAL collection. There is (at best) limited prospects of the Council being able to make further investment in the SPAL collection or the service in the foreseeable future. None of these are conducive to long-term sustainability.

Our proposal will give a new independent SPAL a clear identity which will help us to promote it widely, both in Surrey and beyond, to increase awareness and usage of the SPAL collection. Our proposal will open up sources of funding and support which are not available to the Council and relieve the Council of the burden of seeking to maintain a specialist service as part of a hard-pressed general library service. Our proposal retains access to the SPAL collection for Surrey residents and Surrey-based groups, albeit on a different basis to now. In short, we believe it is in the public interest for you to support our proposal.

Substantial levels of support have been expressed to us from a large number of individual and group users. They are key to the future of the SPAL collection and we respectfully suggest that their voices should be listened to, particularly if (as we expect) these are supported by the results of the specific public consultation on SPAL which the Council has conducted.

Yours sincerely,

*Mark Welling*

**M. R. Welling**  
**Chairman, on behalf of the Trustees**

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**Annex B - COMPARISON OF SERVICE OFFERS**

	<b>Surrey Performing Arts Library at Ewell Library</b>	<b>NewSPAL proposed service</b>
<b>Who is responsible for the service?</b>	The current service at Ewell library is part of the wider library service run by Surrey County Council. As such, it is answerable to elected council members and Surrey's tax payers.	The new service will be run by a Charitable Incorporated Organisation (CIO), a type of legal status which means that it is a not-for profit organisation. It is run by its Trustees and as a CIO it can have a wider membership, including non-voting members other than the charity trustees. It: <ul style="list-style-type: none"> <li>- is registered with the Charity Commission</li> <li>- keeps a register of its members and trustees</li> <li>- sends its accounts and annual return to the commission each year, regardless of its income</li> </ul>

## COMPARISON OF SERVICE OFFERS

<p><b>Opening hours</b></p>	<p>Ewell library is open 37.5 hours a week, 9.30-5pm, Tues -Sat. Other libraries in the network have varying opening times, including late nights until 7pm for collection and return of material.</p>	<p>Initial plans are to be open for 18 hours per week. This will include a mix of hours spread across two weekday mornings, two weekday afternoons, one weekday evening and part of Saturday. The exact details of this will be decided in consultation with its users.</p> <p>See "Collection and delivery of materials" for details of alternative methods of collection and return of material will be available e.g. parcel or courier service.</p> <p>See "Access to the collection - online" for details of the enhanced new computer system which will enable members to search and reserve material themselves on a 24 hour basis.</p>
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## COMPARISON OF SERVICE OFFERS

	Surrey Performing Arts Library at Ewell Library	NewSPAL proposed service
<p><b>Access to the collection - the building</b></p>	<p>Ewell library is on one level, with a ground level car park immediately outside. There are parking charges Monday to Saturday.</p> <p>Current charges are available on the Epsom &amp; Ewell Borough Council website.</p>	<p>The proposed location is on the first floor of a building in Woking town centre, accessible via lift and stairs. The collection and return of multiple sets would be available at the first floor reception. Parking in the surrounding streets is part of Woking Borough Council's controlled parking zone and is charged for. Charges apply from 8.30-18.00 Monday to Sunday.</p> <p>There is also parking available in the nearby multi-storey car park. Charges apply Monday to Sunday. Current charges are available on Woking Borough Council website.</p>

**COMPARISON OF SERVICE OFFERS**

<p><b>Access to the collection - online</b></p>	<p>Surrey Libraries uses its standard library computer system. It has a fully searchable online catalogue which lists all of the performing arts material held at Ewell Library, with the code 'EW/MALT' against the relevant items.</p> <p>Reservations for individual items can be made online directly from the catalogue.</p> <p>Reservations for sets need to be made through separate webpages by online request form.</p> <p>Payments can be made online.</p>	<p>NewSPAL will use a bespoke performing arts library management system which will offer, via its own website, an online self-service system available 24 hours a day. It will include a fully searchable online catalogue, allowing remote browsing, bookings, advance reservations, payments and account management for all users.</p>
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	<p><b>Surrey Performing Arts Library at Ewell Library</b></p>	<p><b>NewSPAL proposed service</b></p>
<p><b>Collection and delivery of materials</b></p>	<p>Materials can be collected and returned at Ewell library and also at any other library in the network free of charge. There is also an arrangement between Surrey and West Sussex which allows free collection and return to any West Sussex Library.</p> <p>Surrey Libraries do not offer an option for home delivery except for standard library books via our Library Direct Home Service.</p>	<p>Materials will be able to be collected and returned to NewSPAL's Woking location free of charge. There will also be a chargeable collection and returns service, via parcel or courier service on a cost recovery basis, to other venues or to a secure drop locker, similar to Amazon.</p> <p>There are plans for home delivery for those with medical conditions or mobility problems. This could include delivery by volunteers or special rates and concessionary arrangements.</p>

**COMPARISON OF SERVICE OFFERS**

<p><b>Charges</b></p>	<p>Surrey Libraries offers annual subscription charges for music and drama groups but not for individuals. Surrey based groups have discounted charges.</p> <p>Music and drama groups also pay an additional charge to hire multiple items.</p> <p>Surrey Libraries charge request fees for groups and individuals. There is also an inter-library loan service for Surrey-based groups to borrow music or drama sets from other library authorities.</p> <p>Prices are reviewed annually and are approved by an elected Surrey councillor in the SCC Cabinet. It is probable, given the financial pressures, that Surrey's own terms and conditions and prices will have to rise for the Ewell based service. Up to now, Surrey council tax payers have made a contribution to the costs of the library, hence the discounted rate. NewSPAL is an independent body and will not receive any contribution from Surrey County Council.</p>	<p>NewSPAL will offer an annual subscription charge to music and drama groups. Additionally, a modest annual subscription for individual users may be introduced. To ensure its long-term financial viability NewSPAL is proposing to become a country-wide service responding to customers based anywhere in the UK and offering a standard rate. There are plans for concessions for those in full time education or the unwaged.</p> <p>Music and drama groups will also pay an additional charge to hire multiple items. Individuals will be able to borrow the same number of items as at present.</p> <p>NewSPAL will be charging request fees for groups and individuals. They will also be offering an inter-library loan service for groups, both Surrey-based and non-Surrey-based, with details still to be negotiated.</p> <p>NewSPAL trustees will set the prices in consultation with users and on the basis that charges will fully reflect the costs of the service.</p>
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**COMPARISON OF SERVICE OFFERS**

	<b>Surrey Performing Arts Library at Ewell Library</b>	<b>NewSPAL proposed service</b>
<b>Staffing</b>	<p>Library staff have general public library experience and training. Performing arts material is a part of the services which the library offers. Staff will fulfil requests for material on a daily basis and queries are dealt with as they are received.</p> <p>Holidays and sickness are covered by paid staff</p>	<p>NewSPAL will initially employ 2 members of staff, with library experience, at least one of whom will have an additional specialist music and/or performing arts qualification. Performing arts will be the sole material in the collection.</p> <p>Holidays and sickness are covered by specially trained volunteers.</p>
<b>Coverage of the service</b>	<p>Anyone who can collect their materials directly from Ewell library, or from their local Surrey or West Sussex library, can use the service. Groups from elsewhere in the country use it via their own local library service and the inter-library loan scheme.</p>	<p>NewSPAL aims to open membership to all comers, regardless of their geographical distance from the Woking site.</p>

## COMPARISON OF SERVICE OFFERS

<b>Who owns the material in the collection?</b>	The current material in the collection at Ewell Library is owned by Surrey County Council. A small percentage of the books were bought as the result of a legacy, but are owned by Making Music and housed at Ewell. A further minimal percentage is owned by a group of local authorities as part of an inter-library lending scheme.	Initially the charity will not own any of the performing arts material, but will have it on free loan basis from Surrey County Council on a conditional basis for two to three years. If the council is assured of NewSPAL's ability to maintain and financially support the service, then ownership will be passed free of charge to NewSPAL.
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	<b>Surrey Performing Arts Library at Ewell Library</b>	<b>NewSPAL proposed service</b>
<b>Funding and income</b>	<p>The library service and this collection is funded by Surrey County Council as part of its council services for Surrey residents.</p> <p>All income goes to the Library Service as part of the targets it has to make to support services.</p>	<p>NewSPAL aims to be self-financing, with all of its costs being recovered from the people using the service. It will also be appealing to supporters for donations and, as a charity, it will be able to apply for grants which are not available to Surrey County Council. They will also be supported by the Friends of Surrey Performing Arts Library (FOSPAL) which will initially provide a budget to buy replacement or additional material.</p> <p>All income will be used by the trustees for the running of the service.</p>

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## Surrey Performing Arts Library – NewSPAL taking over– analysis of consultation

### **Introduction.**

The consultation ran from 19 December 2018 to 3 February 2019. The consultation was available via Surrey Says and hard copies printed on request. Details of the consultation were emailed to all registered library users with an email address and who had given permission to contact them; social media was used and an article placed in the January edition of Surrey Matters. The Trustees of NewSPAL were also informed and asked to use social media and mailing lists to promote the consultation. Before the email was sent to registered library users, we had received 132 replies.

The consultation asked people to identify themselves as belonging to one of the following categories:

- I am responsible for borrowing and returning music sets on behalf of my group
- I belong to a music group which borrows materials from SPAL
- I am responsible for borrowing and returning play sets on behalf of my group
- I belong to a drama/play reading group which borrows materials from SPAL
- I am an individual member of SPAL
- I am none of the above

The data in the report presents the overall results in the first two columns which can then be compared with the results from each of music, drama, individual and “none of the above” categories.

The consultation also contained two free text questions which gave an opportunity for respondents to give their views and suggestions. These have been analysed and reported on at the end of the more detailed quantitative section.

**Overview of results.**

The total number of responses received was 678. Full demographic information is to be found at the end of this report.

In summary, respondents indicate:

- a high level of support for NewSPAL taking on the service
- that change of ownership, location, prices, opening hours or collections/delivery services would have little impact upon their usage
- that potential increase in flexibility of online services attracts a lot of support

The profile of the user based on demographic information received is female, retired, 65 years of age and above, white British, Christian. The response to question 22 tells us they are also generally healthy, with an average of nearly 80% stating they live with no limitation of daily activities because of a health problem or disability. In question 23, we asked about caring responsibilities and overall 71% told us that they had no caring responsibilities for family members, friends, neighbours or others who lived with health and/or age related problems. The tables are at the end of this report.

### More detailed results of the report.

#### Who responded to the consultation?

The largest response came from those involved in the music side of the performing arts: a total of 403 people (59.6% of the total) with music group members being the largest single sector of respondents. There was a low level of response from people involved in drama, which at a total of 11.5% (78 responses) was less than individual library members or those who categorised themselves as “none of the above.” Of the comments recorded, none were made about specific forms of the performing arts other than music or drama.

Option	Total	Percent of All	
I am responsible for borrowing and returning music sets on behalf of my group	98	14.5%	59.4% total music interest
I belong to a music group which borrows materials from SPAL	305	45.0%	
I am responsible for borrowing and returning play sets on behalf of my group	26	3.8%	11.5% total drama interest
I belong to a drama/play reading group which borrows materials from SPAL	52	7.7%	
I am an individual member of SPAL	102	15.0%	
I am none of the above	95	14.0%	
Not Answered	0	0.0%	
Total	678		

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Those individual library members (102) who responded, tended to pursue their performing arts interests in Surrey (87 people; with 12 outside Surrey and 3 people choosing not to answer).

This was also true of the 481 group respondents as can be seen below.

Question 14: For group borrowers only. Where is your group based?

	total submissions		Music		Drama	
Option	Total	Percent of All	Total	Percent of All	Total	Percent of All
In Surrey	390	81.1%	321	79.7%	69	88.5%
Outside Surrey	91	18.9%	82	20.4%	9	11.5%
Not Answered	0	0.0%	0	0.0%	0	0.0%
Total	481		403		78	

Question 13 invited people to comment upon their use of the library and for non-users to give an insight into their interest. Interest in completing the consultation was varied. Some were committee members, librarians, Chairs, or ex-Chairs of music and drama groups; others were not involved in the arts or using the collection at all, but had friends, relatives or partners who use the service, so wished to complete the consultation in order to show their support. Other respondents were teachers who used the collection to support their pupils or had used the service via their school. There were some people who no longer use the collection, but did so previously. A handful of people said that they work in the arts or the music industry and others said that they were simply part of the Surrey community or members of the audience at performing arts events. Finally, there were responses from other library authorities who use the collection for their own local residents.

**Level of support for NewSPAL delivered service.**

There is a high level of support for NewSPAL running the performing arts service with a total of 84% of total submissions replying they strongly agreed/agreed. The strength of agreement across the categories varies with music people showing the highest level of strong agreement, but

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the level of (agreeing/strongly agreeing) doesn't dip below 68.4%. The most ambivalent are the drama groups with 20.5% neither agreeing nor disagreeing.

Question 1: Do you agree or disagree with SPAL being run independently by NewSPAL?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Strongly agree	393	58.0%	280	69.5%	28	35.9%	53	52.0%	32	33.7%
Agree	177	26.1%	90	22.3%	28	35.9%	26	25.5%	33	34.7%
Neither agree nor disagree	67	9.9%	22	5.5%	16	20.5%	13	12.8%	16	16.8%
Disagree	10	1.5%	1	0.2%	2	2.6%	3	2.9%	4	4.2%
Strongly disagree	13	1.9%	2	0.5%	2	2.6%	6	5.9%	3	3.2%
Not sure/I have no opinion	16	2.4%	6	1.5%	2	2.6%	1	1.0%	7	7.4%
Not Answered	2	0.3%	2	0.5%	0	0.0%	0	0.0%	0	0.0%
total	678		403		78		102		95	

NewSPAL aims to ensure that all who wish to use the service can do so. If someone is affected by a health problem or disability which means they cannot access the service in the usual way, NewSPAL would aim to meet their needs. This could include home delivery by volunteers, special rates, concessionary arrangements and appropriate equipment such mobile hearing loops. NewSPAL also plans to offer special rates for those in education or out of work. The consultation asked how important this was to respondents.

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Question 11: How important is it to you that a number of these arrangements are available?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Very important	370	54.6%	221	54.8%	40	51.3%	63	61.8%	46	48.4%
Neither important or unimportant	246	36.3%	151	37.5%	32	41.0%	29	28.4%	34	35.8%
Not important	58	8.6%	29	7.2%	6	7.7%	10	9.8%	13	13.7%
Not Answered	4	0.6%	2	0.5%	0	0.0%	0	0.0%	2	2.1%
Total	678		403		78		102		95	

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Should NewSPAL run the service then there was general support for whichever final location was chosen. Woking was strongly supported by the music users (80%) with the individuals the least supportive but with a majority (58%)

Question 2: Do you agree or disagree with NewSPAL's proposal to move to premises in Woking and with this specification?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Strongly agree	236	34.8%	161	40.0%	26	33.3%	27	26.5%	22	23.2%
Agree	244	36.0%	162	40.2%	22	28.2%	33	32.4%	27	28.4%
Neither agree nor disagree	98	14.5%	49	12.2%	16	20.5%	9	8.8%	24	25.3%
Disagree	46	6.8%	14	3.5%	7	9.0%	16	15.7%	9	9.5%
Strongly disagree	41	6.0%	10	2.5%	6	7.7%	16	15.7%	9	9.5%
Not sure/I have no opinion	13	1.9%	7	1.7%	1	1.3%	1	1.0%	4	4.2%
Not Answered	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
	678		403		78		102		95	

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Having expressed support, the majority of categories would continue to use it as often with the exceptions being the drama groups and individual members who indicated that they would use it less often (23% and 32% respectively) and 18.6% of individuals stating that they would not use the service. This would have an impact upon income for NewSPAL.

Question 3: What impact would the change of location have on you?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
I would use it more often than I do now	80	11.8%	39	9.7%	18	23.1%	9	8.8%	14	14.7%
I would use it as often as I do now	427	63.0%	316	78.4%	38	48.7%	41	40.2%	32	33.7%
I would use it less often	103	15.2%	36	8.9%	18	23.1%	33	32.4%	16	16.8%
I would not use the service	62	9.1%	10	2.5%	4	5.1%	19	18.6%	29	30.5%
Not Answered	6	0.9%	2	0.5%	0	0.0%	0	0.0%	4	4.2%
total	678		403		78		102		95	

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This can be compared with views expressed if a location other than Woking were to be chosen as can be seen from below.

Question 4: What would be the impact on you if NewSPAL moved to a location other than the proposed venue in Woking?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
I would use it more often than I do now	36	5.3%	16	4.0%	6	7.7%	6	5.9%	8	8.4%
I would use it as often as I do now	482	71.1%	320	79.4%	48	61.5%	71	69.6%	43	45.3%
I would use it less often	96	14.2%	44	10.9%	18	23.1%	15	14.7%	19	20.0%
I would not use the service	36	5.3%	7	1.7%	5	6.4%	6	5.9%	18	19.0%
Not Answered	28	4.1%	16	4.0%	1	1.3%	4	3.9%	7	7.4%
Total	678		403		78		102		95	

## Prices and loan arrangements and their impact.

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As NewSPAL would be running the service independent of any council funds, there is potential for their charges to increase and for different loan arrangements to be put in place. The majority of respondents felt this was acceptable to support NewSPAL and for them to develop the service and that it would have little impact upon their use of the service with the music groups being the most strongly in favour and the least likely to stop using the service at 0.7%. The percentage of drama groups who expressed the view that they would cease to use the service at 21.8% would again have implications for income.

Question 5: Do you agree or disagree that potentially increased pricing and different loan arrangements are acceptable to support and develop the NewSPAL service?

	total submissions		Music		Drama		Individual		None of above	
	Percent of All		Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Strongly agree	190	28.0%	137	34.0%	14	18.0%	25	24.5%	14	14.7%
Agree	315	46.5%	196	48.6%	36	46.2%	43	42.2%	40	42.1%
Neither agree nor disagree	86	12.7%	41	10.2%	13	16.7%	13	12.8%	19	20.0%
Disagree	53	7.8%	18	4.5%	10	12.8%	12	11.8%	13	13.7%
Strongly disagree	17	2.5%	3	0.7%	3	3.8%	7	6.9%	4	4.2%
Not sure/I have no opinion	16	2.4%	7	1.7%	2	2.6%	2	2.0%	5	5.3%
Not Answered	1	0.1%	1	0.2%	0	0.0%	0	0.0%	0	0.0%
total	678		403		78		102		95	

## Question 6: What impact would potentially increased and/or restructured prices have on your use of the service?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Percent of All		Total	Percent of All	Total	Percent of All	Total	Percent of All
I would use it more often than I do now	9	1.3%	4	1.0%	3	3.8%	0	0.0%	2	2.1%
I would use it as often as I do now	525	77.4%	350	86.9%	53	68.0%	74	72.6%	48	50.5%
I would use it less often	100	14.8%	38	9.4%	17	21.8%	21	20.6%	24	25.3%
I would not use the service	29	4.3%	3	0.7%	4	5.1%	5	4.9%	17	17.9%
Not Answered	15	2.2%	8	2.0%	1	1.3%	2	2.0%	4	4.2%
Total	678		403		78		102		95	

**Opening hours and online services.**

Respondents felt that fewer opening hours would have little impact on their usage. “I would use it as often as I do now” was the response from the majority (89.1% and 79.5% for music and drama groups respectively). The main categories to be impacted by the opening hours were the individual members (at 22.6%).

Question 7: To what extent do you think the NewSPAL opening hours will impact on your use of the service?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
I would use it more often than I do now	24	3.5%	9	2.2%	6	7.7%	3	2.9%	6	6.3%
I would use it as often as I do now	539	79.5%	359	89.1%	62	79.5%	71	69.6%	47	49.5%
I would use it less often	83	12.2%	27	6.7%	8	10.3%	23	22.6%	25	26.3%
I would not use the service	22	3.2%	3	0.7%	2	2.6%	5	4.9%	12	12.6%
Not Answered	10	1.5%	5	1.2%	0	0.0%	0	0.0%	5	5.3%
Total	678		403		78		102		95	

The potential for increased online facilities and flexibility was received very warmly and was anticipated to produce significant (minimum 32%) increase in usage.

Question 8: What impact would this increased online self-service access have on you?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
I would use it more often than I do now	296	43.7%	184	45.7%	25	32.1%	46	45.1%	41	43.2%
I would use it as often as I do now	338	49.9%	207	51.4%	51	65.4%	46	45.1%	34	35.8%
I would use it less often	14	2.1%	5	1.2%	1	1.3%	3	2.9%	5	5.3%
I would not use the service	20	3.0%	2	0.5%	1	1.3%	7	6.9%	10	10.5%
Not Answered	10	1.5%	5	1.2%	0	0.0%	0	0.0%	5	5.3%
Total	678		403		78		102		95	

### Delivery and collection services

The group representatives tend to be the people who collect and return the sets. The 124 representatives who responded told us which library they use to collect and return sets and, although Ewell Library is popular, other Surrey Libraries also play a role for the group representatives.

Surrey Libraries also has a long standing arrangement with West Sussex library authority which means sets can be collected and returned to any West Sussex Library. Comments show that this is still valued as is the facility to collect and return to any Surrey Library.

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Option	total submissions from group representatives		Music		Drama	
	Total	Percent of All	Total	Percent of All	Total	Percent of All
Ewell library	41	33.1%	29	29.6%	12	46.2%
Another Surrey Library – please specify below	46	37.1%	36	36.7%	10	38.5%
A West Sussex library – please specify below	16	12.9%	12	12.2%	4	15.4%
Not Answered	21	16.9%	21	21.4%	0	0.0%
Total	124		98		26	

There is some level of uncertainty around the parcel/courier/drop-box service. This represents a significant change as this service would be offered on a cost recovery basis. Although the majority agree or strongly agree, significant levels of respondents are neutral (neither agree nor disagree) with the drama groups being the highest at 29.5%. Again the question around the impact of this significant change in service indicates a commitment to using the service as often as they do currently however, as this is part of the income of the service the percentage of drama groups which indicate a decrease or cessation of use (24.4%) may be a concern.

## Question 9: Do you agree or disagree that a parcel or courier and drop-box based service would meet your needs?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Strongly agree	134	19.8%	96	23.8%	9	11.5%	15	14.7%	14	14.7%
Agree	308	45.4%	200	49.6%	30	38.5%	45	44.1%	33	34.7%
Neither agree nor disagree	121	17.9%	61	15.1%	23	29.5%	16	15.7%	21	22.1%
Disagree	40	5.9%	14	3.5%	8	10.3%	10	9.8%	8	8.4%
Strongly disagree	28	4.1%	9	2.2%	7	9.0%	7	6.9%	5	5.3%
Not sure/I have no opinion	42	6.2%	20	5.0%	1	1.3%	9	8.8%	12	12.6%
Not Answered	5	0.7%	3	0.7%	0	0.0%	0	0.0%	2	2.1%
Total	678		403		78		102		95	

Annex C

Question 10: What impact would this have on you?

	total submissions		Music		Drama		Individual		None of above	
Option	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
I would use it more often than I do now	106	15.6%	57	14.1%	11	14.1%	20	19.6%	18	19.0%
I would use it as often as I do now	462	68.1%	315	78.2%	48	61.5%	54	52.9%	45	47.4%
I would use it less often	60	8.9%	16	4.0%	13	16.7%	19	18.6%	12	12.6%
I would not use the service	36	5.3%	8	2.0%	6	7.7%	7	6.9%	15	15.8%
Not Answered	14	2.1%	7	1.7%	0	0.0%	2	2.0%	5	5.3%
Total	678		403		78		102		95	

**Demographic information.**

The tables below show the breakdown of age, gender, disability/longstanding condition which affects how they live their lives, employment status and ethnicity.

Question 18. gender	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Male	248	36.6%	149	37.0%	31	39.7%	34	33.3%	34	35.8%
Female	371	54.7%	225	55.8%	41	52.6%	58	56.9%	47	49.5%
Prefer not to say	51	7.5%	24	6.0%	5	6.4%	8	7.8%	14	14.7%
Not Answered	8	1.2%	5	1.2%	1	1.3%	2	2.0%	0	0.0%
	678		403		78		102		95	

Question 19 Age	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Under 18	2	0.3%	1	0.2%	0	0.0%	1	1.0%	0	0.0%
18-24	7	1.0%	0	0.0%	1	1.3%	3	2.9%	3	3.2%
25-44	36	5.3%	18	4.5%	2	2.6%	7	6.9%	9	9.5%
45-64	203	29.9%	115	28.5%	19	24.4%	37	36.3%	32	33.7%
65-74	259	38.2%	170	42.2%	34	43.6%	27	26.5%	28	29.5%
Over75	106	15.6%	61	15.1%	15	19.2%	17	16.7%	13	13.7%
Prefer not to say	59	8.7%	35	8.7%	6	7.7%	8	7.8%	10	10.5%
Not Answered	6	0.9%	3	0.7%	1	1.3%	2	2.0%	0	0.0%
	678		403		78		102		95	

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Question 20: Which of the following categories do you feel best describes your employment status?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Full-time employment (30 hours or more per week)	93	13.7%	52	12.9%	11	14.1%	9	8.8%	21	22.1%
Part-time employment (less than 30 hours per week)	59	8.7%	29	7.2%	8	10.3%	11	10.8%	11	11.6%
Self-employed (full-time or part-time)	87	12.8%	46	11.4%	7	9.0%	19	18.6%	15	15.8%
Voluntary employment	29	4.3%	22	5.5%	1	1.3%	3	2.9%	3	3.2%
Not employed	4	0.6%	1	0.2%	1	1.3%	1	1.0%	1	1.1%
In full-time education (school, college or university)	6	0.9%	0	0.0%	0	0.0%	4	3.9%	2	2.1%
In part-time education (school, college or university)	1	0.1%	0	0.0%	0	0.0%	1	1.0%	0	0.0%
Homemaker	8	1.2%	7	1.7%	0	0.0%	1	1.0%	0	0.0%
Not required to work due to a disability or illness	3	0.4%	1	0.2%	0	0.0%	1	1.0%	1	1.1%
Retired	334	49.3%	210	52.1%	46	59.0%	45	44.1%	33	34.7%
Prefer not to say	48	7.1%	32	7.9%	3	3.8%	5	4.9%	8	8.4%
Not Answered	6	0.9%	3	0.7%	1	1.3%	2	2.0%	0	0.0%
	678		403		78		102		95	

## Question 21: Which of the following categories best describes your ethnicity?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
White British	556	82.0%	343	85.1%	64	82.1%	82	80.4%	67	70.5%
White any other background	17	2.5%	2	0.5%	4	5.1%	3	2.9%	8	8.4%
Black or Black British	1	0.1%	0	0.0%	1	1.3%	0	0.0%	0	0.0%
Asian or Asian British	4	0.6%	1	0.2%	0	0.0%	2	2.0%	1	1.1%
Mixed race	3	0.4%	0	0.0%	0	0.0%	2	2.0%	1	1.1%
Gypsy, Roma, Traveller	1	0.1%	1	0.2%	0	0.0%	0	0.0%	0	0.0%
Prefer not to say	81	12.0%	50	12.4%	5	6.4%	9	8.8%	17	17.9%
Other backgrounds	7	1.0%	4	1.0%	1	1.3%	1	1.0%	1	1.1%
Not Answered	8	1.2%	2	0.5%	3	3.8%	3	2.9%	0	0.0%
	678		403		78		102		95	

Annex C

Question 22: Are your day-to-day activities limited because of a health problem or disability which has lasted or is expected to last at least 12 months?

	total submissions		Music		Drama		Individual		None of above	
Option	Total	Percent of All	Percent of All		Total	Percent of All	Total	Percent of All	Total	Percent of All
Yes- limited a lot	12	1.8%	4	1.0%	0	0.0%	2	2.0%	6	6.3%
Yes- limited a little	50	7.4%	27	6.7%	5	6.4%	9	8.8%	9	9.5%
No	555	81.9%	341	84.6%	65	83.3%	85	83.3%	64	67.4%
Prefer not to say	48	7.1%	27	6.7%	5	6.4%	3	2.9%	13	13.7%
Not Answered	13	1.9%	4	1.0%	3	3.8%	3	2.9%	3	3.2%
	678		403		78		102		95	

Q23 Do you look after, or give help or support to family members, friends, neighbours or others because of either: long-term physical or mental ill-health/disability and/or problems related to old age? Are you a carer?

	total submissions		Music		Drama		Individual		None of above	
Option	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
No	483	71.2%	293	72.7%	60	76.9%	71	69.6%	59	62.1%
Yes, 1-19 hours a week	94	13.9%	57	14.1%	8	10.3%	16	15.7%	13	13.7%
Yes, 20-49 hours a week	3	0.4%	2	0.5%	0	0.0%	0	0.0%	1	1.1%
Yes, 50 or more hours a week	13	1.9%	6	1.5%	0	0.0%	3	2.9%	4	4.2%
Prefer not to say	73	10.8%	41	10.2%	7	9.0%	9	8.8%	16	16.8%
Not Answered	12	1.8%	4	1.0%	3	3.8%	3	2.9%	2	2.1%
	678		403		78		102		95	

## Question 24: What is your religion?

Option	total submissions		Music		Drama		Individual		None of above	
	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All	Total	Percent of All
Christian (including all Christian denominations)	368	54.3%	227	56.3%	48	61.5%	48	47.1%	45	47.4%
Sikh	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Buddhist	3	0.4%	1	0.2%	0	0.0%	2	2.0%	0	0.0%
Hindu	1	0.1%	0	0.0%	0	0.0%	0	0.0%	1	1.1%
Jewish	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Muslim	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Prefer not to say	191	28.2%	117	29.0%	17	21.8%	28	27.5%	29	30.5%
Any other	81	12.0%	40	9.9%	5	6.4%	18	17.7%	18	19.0%
Not Answered	34	5.0%	18	4.5%	8	10.3%	6	5.9%	2	2.1%
	678	100.0%	403		78		102		95	

## Qualitative analysis

Respondents were asked for their specific comments as to why they use the library and for any comments or suggestions on the service offer being made by NewSPAL. From the 678 forms which were completed, there were 530 comments received, across 2 free-text boxes in questions 13 and 17.

All comments were tagged in relation their theme, to allow ideas and opinions to be analysed in a consistent way. Many respondents have covered a range of themes in their commentary (i.e. individual comments have not just been about one thing). The main themes are listed below:

- **The collection** – comments about the collection itself
- **The Transfer to NewSPAL** – comments, both positive and negative, about NewSPAL’s taking over the collection and service
- **Staffing** – comments on staff, volunteers and how the service is supported
- **Development of the collection** – comments on future plans for how the collection will be maintained and developed, e.g. buying new stock
- **Online** – comments on the online catalogue and using the service remotely
- **Opening hours** – comments on the proposed opening hours
- **Location of the collection** – comments on either the current location at Ewell Library or the proposed location in Woking
- **Inter-library loans** – comments about lending and borrowing stock between authorities other than Surrey or West Sussex
- **Internal delivery** – comments on using the internal library van service to collect and return materials at local libraries
- **Costs** – comments about what impact NewSPAL costs will have on the user and what impact changes to the service will have / have had on the council and library service.
- **Surrey County Council** – comments which talk about SCC or the political situation
- **The Consultation** – comments on the questions and the consultation process itself

### The Collection

There were 125 comments about the collection itself. Overwhelmingly, people were hugely positive about the Performing Arts collection and its importance to the local Surrey community as well as nationally. They tended to use words such as ‘vital’, ‘important’, ‘invaluable’, ‘wonderful resource’ and were very forthright in the need for the collection to continue, whether this was through NewSPAL or through Surrey Libraries. They talked about the difference that the arts have made to people’s lives in Surrey. They used very emotive language to describe the possible loss of the collection, using phrases such as ‘absolute tragedy’, ‘essential service’, ‘amazing and valuable resource’ and ‘absolutely vital’. People were very appreciative of the range, scale and value of the collection and are insistent that the collection remains intact and available to Surrey residents and those further afield.

**Sample of comments made**

***'SPAL is VITAL to music making in this country, never mind the south of England. But it is especially vital to music making in Surrey.'***

***'This collection, built up over years, is an invaluable and rare resource.'***

There were very few negative comments about the collection. Only 3 people were not appreciative of it, thinking that it was aimed at a very small number of Surrey residents and the money could be better spent elsewhere.

**Sample of comments made**

***'Ideally I would like this service removed entirely, stop wasting staff time on such a pointless service that only benefits a small overly privileged section of our communities.'***

**The Transfer to NewSPAL**

There were 251 comments regarding the transfer of the collection to NewSPAL. 223 commented positively on NewSPAL's taking on the collection. They saw it as a very positive step for the collection's future to be managed and developed by NewSPAL rather than Surrey County Council. NewSPAL was seen as an asset to the cultural life of Surrey, and the expertise of its staff and volunteers would be beneficial to the users. Respondents felt that NewSPAL would be able to invest more care and attention to the collection than Surrey County Council could and would also be able to develop the collection for future use, which includes stock maintenance and purchasing new and replacement material.

Other comments talked about the business plan and the proposals and how these seemed well thought through and were a sensible way forward. Respondents felt that transferring the collection to NewSPAL would accord it a sense of future security and remove it from future financial threats within Surrey County Council. There was a real strength of feeling of the importance of continuing to make the collection available and that NewSPAL would be able to achieve this.

**Sample of comments made**

***'As users, NEWSPAL will be strongly motivated to ensure the maintenance and continuation of the collection. The community benefits, which NEWSPAL will provide, are enormous, though largely unidentifiable in solely monetary terms.'***

***'The NewSPAL offer could provide future-proofing for the service, taking it out of the demands on SCC's budget in times of austerity. As a CIO it can work outside the constraints of local govt legislation; seek funding from other sources; long-term, it could seek to develop into one of a***

***handful of centres of excellence for the country, thus increasing its user base, and therefore its support, stability, resilience.'***

There was also a small number of negative responses to NewSPAL's taking on the collection. 28 comments were not in favour of the transfer. There were differing reasons for this: some felt that a charity taking on the collection was not reliable long term, due to the level of volunteer involvement. Others felt that they may not have the necessary funding and expertise. Some were against the costs, location and methods of delivery (further details below). Other responses were concerned over the impact on individual users and their accessing and borrowing material.

#### ***Sample of comments made***

***'I fear that it all only being in Woking by worked by an independent entity and not able co-operate with Surrey libraries day to day will affect usage greatly. Very concerned.'***

#### **Staffing**

There were 45 comments which talked about staffing. These fell into distinct areas. The majority of people talked about the necessity to have the collection managed by staff with experience and knowledge of the performing arts. It was seen as a positive step that NewSPAL propose to do this. Conversely, a minority of people commented on the fact that the present situation with the collection at Ewell showed that the lack of dedicated professional music and drama staff was now being felt, to the detriment of the service. There were several comments which referred back to when SPAL was in Denbies as a separate unit, with staffing committed to it full time, who had been very much appreciated for their professional input. Volunteers were also mentioned, mainly positively, where it was assumed or hoped that these volunteers would bring musical or other knowledge to the service.

#### ***Sample of comments made***

***'It is important that library staff includes a professional experienced in performing arts materials.'***

***'I am looking forward to having this very specialised library run by experienced and knowledgeable staff along with enthusiastic and again, experienced volunteers.'***

***'The staff try so hard but they just don't have the specialist knowledge. NewSPAL will have staff with the necessary expertise.'***

## Development of the Collection

60 comments referred to the continued development of the collection and the need for this to happen. People felt that the ongoing maintenance of the collection, including replacing stock and buying new stock, was only likely to happen under NewSPAL's control, rather than Surrey's. Other comments suggest that the collection has already diminished since it left Denbies, or would diminish in the future due to lack of investment by Surrey. Along with the continuation of multiple copy loans, it is the maintenance of the collection and how it will expand which people see as a point in NewSPAL's favour.

### *Sample of comments made*

***'The Newspaper proposals will not only ensure the continuity and development of this excellent service, but will carry it forward and evolve it for current and future users.'***

***'Surrey libraries obviously do not have the funds to update, enhance or add to the collection in the future whereas Newspaper will exist entirely to do that.'***

## Online

26 comments talked about online services. People were generally positive regarding the Online aspect to accessing NewSPAL's services. There was a certain level of lack of awareness of current online features, such as being able to locate and request stock using an online catalogue, with people reading this as a future positive development with NewSPAL and not as something which Surrey already offer. A bespoke system was looked on positively, as being more suited to the needs of NewSPAL's users.

Others saw online features as an enhancement, but not one that could replace the physical perusal of the stock, when selecting music or drama to perform. Online facilities were generally seen to be of benefit, but particularly in conjunction with physical services and not necessarily to replace them.

### *Sample of comments made*

***'It provides a good opportunity to improve the existing service with an IT system specifically designed for performing arts collections.'***

***'An online service and catalogue should be seen as a bonus facility, rather than a standard way of borrowing. Many of us need to physically scan the pages of a script before making choices, this means visiting the library in person. My job depends on "eyes-on" access.'***

## Opening Hours

19 responses commented on the opening hours. Most of the respondents commented that the proposed new hours were restrictive, or should be increased. But several respondents felt that the reduction in opening hours would be offset by the use of couriers, Amazon lockers, knowledgeable staff and online access.

### *Sample of comments made*

***'I think the opening times of new facilities need to be as generous as possible to allow a decent window for people who are travelling to get there in case of delays.'***

***'Shorter opening hours need not be a problem in view of the proposed arrangements for couriers and for on line arrangements with other providers in the country.'***

### Location of the collection

102 comments talked about the location of the collection, whether this was at Ewell Library, Woking or a different location altogether:

- 11 were positive to Ewell as a location
- 11 were negative to Ewell as a location
- 17 were positive to Woking as a location
- 44 were negative to Woking as a location
- 19 mentioned the location for other reasons

Given that Surrey is such a large county, responses about the location of the collection were, as would be expected, mostly subjective and based on where in Surrey the respondent lived.

Some people liked the fact that the collection was now housed in Ewell Library.

### *Sample of comments made:*

***'When it was in Dorking it was too hard to access. In Ewell it is much easier to access.'***

***'Please do NOT move the service after you just recently had it moved to Ewell.'***

Others felt that the move to Ewell Library had been detrimental to the services there, as well as the inaccessibility of the library itself.

**Sample of comments made:**

***'I really think that Ewell Library is terribly difficult to get to for people in a very large swathe of Surrey.'***

***'It has had a big impact on all users in terms of space, availability of books and tables for those doing research, homework etc. Parking is an issue also. Bourne Hall car park can easily be full and alternative parking is too far for people to carry heavy books.'***

A Woking location also produced conflicting comments, with both positive and negative viewpoints, mainly due to the first floor location and the parking arrangements.

**Samples of comments made:**

***I think Woking would be a good place for the library as it is reasonably central in Surrey and has good public transport, particularly by train.***

***The Woking location and chargeable car park sound fine and are similar to Ewell***

***'I would not like to have to go to Woking, or arrange a pickup at some cost, for something which I believe should be available to the general library user.'***

***'As someone who borrows music sets on behalf of a choral society I would find the new location and collection/drop-off proposals a serious challenge. It would be impossible to transfer 80-100 plus vocal scores to my vehicle from a first floor location in Woking.'***

***'As some music sets can be heavy and bulky, not having parking at the premises is detrimental. Woking's car parks are not cheap.'***

Some respondents also suggested that the location be based somewhere completely different

**Sample of comments made**

***'Why can the service not be sited in Guildford where the school of performing arts resides.'***

***'How about an industrial unit in between Guildford and Dorking? Seems about middle/middle.'***

***'If Woking destination is sensible then clearly the right decision. Was, for example, The University of Surrey approached?'***

Finally, a few respondents felt that it was impossible to answer the question about a different location being preferable without knowing what that location was

***Sample of comments made***

***'Asking if I would use the service it was located in different area ridiculous as it would obviously depend on where it was located.'***

**Inter Library Loans (ILL)**

38 comments mentioned Inter Library Loans. The majority were supportive of inter-lending between library authorities as a means of supplementing the stock available to SPAL users, and hoped this service would continue under NewSPAL. Many also mentioned ILL as a possible way for NewSPAL to increase their income. Several responses were from users outside Surrey, who mentioned how valuable it was to them to be able to borrow for their users.

***Sample of comments made***

***'As a borrower of music sets for \*\*\*\*\* Choral Society in Surrey, an important requirement is continued access to a wide collection of scores across several libraries (via inter-library mechanisms). Typically, due to the numbers of copies required (80-120) or the choice of piece, most of our bookings have included some inter-library loan.'***

***'It is essential that in order to make NewSPAL cost effective, performing arts groups across the country will be enabled to access this collection more easily and will increase the financial viability of NewSPAL with realistic cost structures and charging.'***

The few negative comments were regarding the point that if a lot of stock was on loan to other borrowers and authorities outside Surrey, there would be less stock available for users to choose from.

***Sample of comments made***

***'I am not keen on the service being extended nationally as this may mean that surely organisations have less choice than previously'***

***'If NewSPAL is open to all comers, regardless of geographical location, this vastly increases the likelihood of items being unavailable, particularly the more popular works. Are there plans to increase the stock to cover this?'***

## Internal delivery

28 comments talked about continuing to use the internal van system for collection and return of their loans. The respondents were unanimous in wanting the use of the internal library van delivery system to continue, even if the collection were transferred to NewSPAL, as the facility of collecting their items from an extensive network of library locations was seen as highly desirable.

### *Sample of comments made*

***'Our choir tries to support SPAL, but if we lose the facility of (up to 140) scores being delivered to convenient libraries via the library van, and we have to pay courier charges, there may not be any advantage in using NewSPAL over a commercial enterprise.'***

***'The free delivery to my local library cuts out transport costs which is a major factor to stay with SPAL.'***

## Costs

106 comments referred to the question of costs. This included costs to the individual as well as costs to the council. The most common topic raised was that future costs should be competitive/reasonable/good value. Some respondents accepted that changes would be needed to make the service financially viable.

### *Sample of comments made*

***'It is essential that in order to make NewSPAL cost effective, performing arts groups across the country will be enabled to access this collection more easily and will increase the financial viability of NewSPAL with realistic cost structures and charging.'***

***'Think it vital that this valuable community resource continues to be available, even if charges have to rise somewhat. Of course if they rise too much that would affect the answers but that will probably be market-driven and users would vote with their wallets.'***

However, other comments showed more concern about the increase in charges, particularly in light of the fact that there had already been increases in charges in the past year or so. People were also concerned about the cost of using a courier service to have their items delivered to them.

### *Sample of comments made*

***'The charges to Surrey members for group borrowing are already higher than other libraries' charges to out-of-area groups and are, in my opinion, prohibitive. As a small Surrey-based community choir we cannot afford to borrow from our own County Library. The £45 annual fee was the last straw, especially as services were not even available when we needed them in the***

***run up to Christmas. The move to Woking renders the library inaccessible to us - but we are now going elsewhere because we can no longer afford to borrow from Surrey.'***

***'Interest in having service maintained with maximum availability and minimal cost to users. NewsPAL appears to be similar to BSI and with ability to set its own pricing model is likely to become practically available only to commercial organisations and not individual members of the public.'***

***'The extra cost of a courier/postal service would be unwelcome'***

Several respondents also mentioned that the tight budgets of students, the retired, disabled, small groups etc. should be borne in mind:

***Sample of comments made***

***'So many playreading groups will have to close and yet this is an excellent activity for the elderly. But the cost of borrowing the scripts and having to go to Woking to select them will make too difficult to maintain. Concessions for over 65 would help.'***

***'I am strongly against any increased charges as Music should be accessible to all and often as musicians we are on limited income.'***

Some respondents felt that details of the proposed charging structure were not clear enough, so they were unsure exactly how this would work with NewsPAL in the future:

***Sample of comments made***

***'The cost information is non-existent except for vague references to use charges and local parking fees. There should be a proposed budget available to people taking the survey as part of the advance information provided.'***

***'Some of the questions depend on the actual values (e.g. if costs are increased by 10% it would make little difference to borrowing, but if 50% it would have more of an impact). It would then make a difference to choir subscriptions.'***

Several respondents mentioned that SCC was facing financial challenge restrictions, which were impacting on the service and Surrey's ability to continue with the collection. They saw this as a very good reason for NewsPAL to take over the collection as they could give it the financial stability that the library service would not be able to provide, including sourcing alternative funding not available to Surrey County Council.

**Sample of comments made**

***'However, continuing pressures on local government finances put the present collection's long-term future in doubt. The NewSPAL offer could provide future-proofing for the service, taking it out of the demands on SCC's budget in times of austerity.'***

***'NewSPAL will be able to access other finance streams which are currently unavailable with SCC'***

Finally, some comments reflected that the collection itself and the time that had been spent of it for a limited number of people, was not worth the cost at all.

**Sample of comments made**

***'All of this is a complete waste of tax payers' money and the Performing Arts Library should have been closed years ago. Why should tax payers in general pay for the provision of music sets, when SCC does not have enough money to pay for elderly social care? People are dying in beds at home and we're worried about choirs having access to music sets. It's complete madness.'***

***'The whole concept of any taxpayers money going towards this pointless service does nothing but annoy me. I would gamble that most of its users are reasonably privileged in life and could afford to pay for this nonsense service themselves.'***

**Surrey County Council**

There were 34 comments relating to Surrey County Council itself and comments of a political nature. On the whole, these related to finance, whereby people commented on the fact that Surrey can no longer afford to run a performing arts service, so it makes sense for it to be handed over to NewSPAL. Some others felt that Surrey should not be spending any more time and money on such a specialised service. Surrey County Council was also criticised for its perceived attitude towards the arts in Surrey and its lack of support of the collection.

**Sample of comments made**

***'Come on councillors bite the bullet and close the service and provide services for the many not the few.'***

***'I think it is a great disgrace that Surrey Council is not willing to continue with the Performing Arts Library and indicative of a completely blinkered and philistine approach to the arts in Surrey.'***

## The consultation

There were 14 comments on the consultation process itself, including the concept of it and the questions themselves. Some of them were positive, as people appreciated being given the opportunity to give their opinion.

### *Sample of comments made*

***'I appreciate the value of this type of consultation.'***

***'It is vital that SCC pays careful attention to the responses to this survey and other representations from SPAL users. I believe that if SCC gets this right, NewSPAL could be a real asset to Surrey.'***

However, the majority of the questions in this theme were negative, about the consultation itself and the questions that were asked.

### *Sample of comments made*

***'This questionnaire, which has been rushed out with little thought, is very poorly designed and many of the questions are difficult to reply to meaningfully without qualification. In itself it is an indicator of why SCC's custodianship of the SPAL collection cannot be relied on.'***

***'As usual, I think the aim of this 'consultation' is for SCC to say that its had a consultation. It seems to make little difference what the people it serves want.'***

# Equality Impact Assessment (EIA)

## 1. Topic of assessment

<b>EIA title</b>	Surrey Performing Arts Library: NewSPAL Proposal
<b>EIA author</b>	Gregory Finneron

## 2. Approval

	Name	Date approved
<b>Approved by</b>		

## 3. Quality control

<b>Version number</b>	V1	<b>EIA completed</b>	
<b>Date saved</b>	11.01.2019	<b>EIA published</b>	

## 4. EIA team

Name	Job title	Organisation	Team role
Gregory Finneron	Project Officer	Surrey County Council	EIA Lead
Janet Thomas	Community Connections Senior Manager	Surrey Libraries, Surrey County Council	EIA Lead

## 5. Explaining the matter being assessed

### What policy, function or service is being introduced or reviewed?

Surrey Libraries holds a large collection of single books material relating to the performing arts and includes multiple copy sets of orchestral, vocal scores and plays, music CDs, DVDs and a large selection of single music scores. Until August 2018, the collection operated from a stand-alone library, Surrey Performing Arts Library (SPAL) in the grounds of Denbies Wine Estate in Dorking.

The material is used to offer a service to group users, who borrow sets of multiple copies of a specific title e.g. Handel's Messiah or Agatha Christie's "The ABC murders", and individual users who borrow standard single copy books on cinema, theatre, dance e.g. "The Story of Film" by Mark Cousins.

It is one of the few loan collections of multiple copy music and drama sets remaining in the UK public library network system and is a net lender of material (particularly of music sets) to other library services. The remaining material represents significant coverage of the history and practice of all elements of the performing arts.

SCC's Legal Services have confirmed that this is not a statutory part of the library service.

The County Council's Medium Term Financial Plan (MTFP) for 2018-19 required a budget reduction of £180,000 for this service from the library service's controllable budget. Surrey Libraries therefore reviewed its option for the provision of a performing arts loan service (withdrawing the service was not an option).

As part of the budget reduction process, in August 2018 the collection was moved to become part of Ewell Library.

One of the options for continuation of the service, was to work with an outside organisation which might in due course take on the management and administration of the collection and its public service.

NewSPAL is a Charitable Incorporated Organisation (CIO) registered with the Charity Commission and formed in 2018 with the aim of taking responsibility for the management and administration of the collection of material previously held at Surrey Performing Arts Library (SPAL) based at Denbies in Dorking.

NewSPAL is submitting a business case to the Council's Cabinet as part of the process of examining the viability of NewSPAL in the above role. The business plan also includes its own EIA on the transition, the conditional loan period and the future should the CIO take over responsibility for the service.

This EIA assesses the equalities impact of the proposals within the NewSPAL business plan.

<p><b>What proposals are you assessing?</b></p>	<p>NewSPAL has put forward a draft business plan on how it would manage the collection and the public service underlying that collection.</p> <p>The business plan includes details of a potential new premises (yet to be confirmed), Library Management System (LMS) to be used to catalogue the collection and enable it to offer a lending service to groups and individuals, charging and staffing structures and projected costs and income for a period of three years.</p> <p>The collection would be loaned by the Council to NewSPAL on a conditional basis for a defined period, under a legal agreement, after which, subject to meeting specific requirements, it would be transferred on an unconditional basis.</p> <p>The transitional period and post transitional period are also described in the business plan.</p> <p>In addition to free pick up and return of material on site, NewSPAL proposes a range of delivery services, priced on a cost delivery basis. This will increase the range of delivery/return options for the users.</p> <p>The proposal includes group and individual membership on a subscription basis.</p>
<p><b>Who is affected by the proposals outlined above?</b></p>	<p><b>Surrey residents, individual and group borrowers registered with the library for use of the material.</b></p> <p>Those affected fall into one of two categories:</p> <ul style="list-style-type: none"> <li>• individual borrowers who have an interest in the history and practice of the performing arts</li> <li>• performance/reading groups who hire the multiple copy sets.</li> </ul> <p>The group users are based in Surrey and beyond. There is a long standing relationship with users in West Sussex as Surrey Libraries previously held the contract to serve these specific groups.</p> <p>Due to the nature of the subject matter, the stock of the library is overwhelmingly adult orientated and the consequent user base is adult. In August 2017, 89% of registered borrowers were adult i.e. over 16 years of age.</p> <p>Between 2012 and 2017 active borrowers have reduced by 19%, and the user base is now considered to be quite narrow.</p> <p>Annual visitor numbers of 15,829 in 2016/17 placed Surrey Performing Arts Library at Denbies 47 out of 53 Surrey libraries, and when multiple copy issues are taken into consideration SPAL was similarly ranked for issues.</p>

## 6. Sources of information

### Engagement carried out

To inform their business plan, NewSPAL has consulted with:

- Various interest groups and users through two open public meetings
- The council which may be supplying their LMS
- Making Music – a charity focussing on amateur groups of musicians and singers
- Potential users via a survey

### Data used

- NewSPAL Business Plan
- SPAL Consultation 2017
- Surrey Libraries Data Management System
- Surrey-i including: Census 2011 data; Surrey JSNA; GIRES
- Workforce Equalities Data for Surrey Libraries August 2018

## 7. Impact of the new/amended policy, service or function

The proposal would result in the transfer of the collection to NewSPAL and relocation to a site which is not part of the SCC portfolio. At the time of writing, no legal agreement on a site has been reached, however NewSPAL are currently discussing a potential site in Woking. Any relocation will result in users potentially needing to travel either a greater or lesser distance to access the collection on site, which may have implications on cost, convenience and time.

The pattern of opening hours in any premises will include day time, evening and Saturday and, with an initial offer of fewer hours, may have implications on accessibility of the collection. However, the new LMS should represent an improvement in on-line services for group borrowers. A relocation to a busier environment such as Woking potentially widens the exposure of the collection to Surrey residents.

Those who use the service physically are likely to be impacted more greatly than remote users. It is proposed that the catalogue would be placed online, providing access to browsing and ordering, and a courier service be put in place to assist delivery of items. Material would no longer be available for collection or return from the SCC Library branch network.

NewSPAL also intends to widen its membership by directly appealing to potential users country wide. NewSPAL is still investigating a variety of options for delivering that material to its individual and group borrowers. The type of delivery options may have implication on cost and convenience.

The charging structure will have implications on cost for individual borrowers who currently experience a free service.

## 7a. Impact of the proposals on residents and service users with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 76</p> <p style="text-align: center;"><b>Age</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and offers a variety of nearby parking options.</p> <p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative impact restricting access during the week.</p> <p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in loading using the parking options near the location under discussion.</p>	<p>SCC Library Membership is 62% under the age of 45, however of respondents to the SPAL Consultation 2017, only 11.5% were under 45 years of age.</p>

	<p>which will enable the user to control their own reservations and accounts.</p> <p>There may be a greater positive impact on older people as they represent a greater proportion of users of this material.</p>	<p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on user cost.</p> <p>There may be a greater negative impact on older people as they represent a greater proportion of users of this material.</p>	
<b>Disability</b>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and offers a variety of parking options.</p> <p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return options which will have an impact on convenience.</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative impact restricting access during the week.</p> <p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in loading using the parking</p>	<p>The Library Service does not hold user data for this protected characteristic.</p> <p>The day to day activities of 13.5% of Surrey's population are limited by a long term health problem or disability. This is below the national average of 17.6%.The activities of 5.7% are limited "a lot".</p> <p>The likelihood of suffering from a long term illness or disability increases with age. 78% of people over 85 reported a health problem compared with just 2.9% of children under 16. (Source: Surrey-i, 2011 Census-Disability, Health and Carers)</p> <p>1 in 4 people over the age of 65 suffer from depression and 40% over 85 have debilitating depression. (Source: Ageing Well in Surrey 2015)</p> <p>Women over 65 (10.4%) are more likely to be depressed than men (6.4%) of the same age.</p>

	<p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts.</p> <p>There may be a greater positive impact on those with physical disabilities due to greater accessibility.</p>	<p>options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on users.</p> <p>There may be a greater negative impact on those with physical disabilities due to the physical location.</p>	<p>(Source: Surrey JSNA Adult Mental Health 2014, and Health and wellbeing in Surrey: Promoting emotional wellbeing and mental health, Surrey-i 2014)</p>
<p><b>Gender reassignment</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and offers a variety of parking options.</p> <p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative impact restricting access during the week.</p> <p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in</p>	<p>The Library Service does not hold user data for this protected characteristic.</p> <p>Those in minority groups can often experience social exclusion and isolation and require additional access to services and resources.</p> <p>Organisations should assume that 1% of their employees and service users may be experiencing some degree of gender variance. At some stage, about 0.2% may undergo transition. (Source: GIRES Update 2011)</p>

	<p>options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts.</p> <p>There is no positive impact identified with this particular protected characteristic.</p>	<p>loading using the parking options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on users.</p> <p>There is no negative impact identified with this particular protected characteristic.</p>	
<p><b>Pregnancy and maternity</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and offers a variety of parking options.</p> <p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative impact restricting access during the week.</p> <p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p>	<p>The Library Service does not hold user data for this protected characteristic.</p> <p>In 2013 there were 13,569 live births recording the mother’s usual place of residence as Surrey. North East Surrey had the highest number with 4,084 live births and the lowest number was 2,775 in the South West. (Source: Surrey-i)</p>

	<p>options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts.</p> <p>There may be a greater positive impact on those who are pregnant, or with babies and/or young children due to improved accessibility to the collection.</p>	<p>The user may also experience greater difficulty in loading using the parking options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on users.</p> <p>There may be a greater negative impact on those who are pregnant, or with babies and/or young children due to the physical location.</p>	
<p><b>Race</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and offers a variety of parking options.</p> <p>The relocation will potentially widen the</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative impact restricting access during the week.</p> <p>The site under discussion is first floor premises with stair and lift access. The user may</p>	<p>The Library Service does not hold data on the ethnicity of its users.</p> <p>The population of Surrey is 83.5% White British. In Epsom &amp; Ewell where the collection is currently located this is 78.6% and in the town (Woking) of the site under discussion for the collection to be located the White British population is 74.9%.</p> <p>In Woking the minority ethnic groups present with above 1% of the County average are:</p> <p>White Other: 7.41% Pakistani: 5.73%</p>

	<p>exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts.</p> <p>There is the possibility of a positive impact on those in the White Other and Pakistani communities.</p>	<p>experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in loading using the parking options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on users.</p> <p>There is the possibility of a slight negative impact on the Other Asian community.</p>	<p>In Epsom &amp; Ewell where the collection is to be moved from the ethnic group present with above 1% of the County average is:</p> <p>Other Asian: 3.65%</p> <p>The Other Asian community in Woking is 2.2% (the County average is 1.7%). (Source: Census 2011)</p>
<p><b>Religion and beliefs</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and offers a variety of parking options.</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative impact restricting access during the week.</p>	<p>The Library Service does not hold user data for this protected characteristic.</p> <p>The population of Surrey is 62.8% Christian.</p> <p>In Epsom &amp; Ewell where the collection is currently located this is 61.6% and in the town (Woking) of the site under discussion for the collection to be located the Christian population is 58.8%.</p> <p>In Woking the minority religious group with above 1% of the County average (2.15%) is the Muslim population with 7.4% representation. In Epsom &amp; Ewell the Muslim population is 3.03%. (Source: Census 2011)</p>

	<p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts.</p> <p>There is the possibility of a positive impact on those within the Muslim population.</p>	<p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in loading using the parking options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on users.</p> <p>There is no negative impact identified with this particular protected characteristic.</p>	
<p><b>Sex</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and offers a variety of parking options.</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative impact restricting access during the week.</p>	<p>SCC Library Membership is 61.7% female and respondents to the SPAL Consultation 2017 were 58.9% female.</p> <p>Women over 65 (10.4%) are more likely to be depressed than men (6.4%) of the same age. (Source: Surrey JSNA Adult Mental Health 2014, and Health and wellbeing in Surrey: Promoting emotional wellbeing and mental health, Surrey-i 2014 )</p>

	<p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts</p> <p>There may be a greater positive impact on females as they represent a greater proportion of users of this material.</p>	<p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in loading using the parking options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on users.</p> <p>There may be a greater negative impact on females as they represent a greater proportion of users of this material.</p>	
<p><b>Sexual orientation</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative</p>	<p>The Library Service does not hold user data for this protected characteristic.</p> <p>The UK Government estimates that 7% of the population are LGBTQ. Applying this to mid-2009 population estimates for Surrey, there may be around 5,700 people aged 11 to 16 in Surrey who are LGBTQ.</p> <p>The percentage of the population living in same sex couple households is 0.7%. (Source: Census 2011)</p>

	<p>offers a variety of parking options.</p> <p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts</p> <p>There is no positive impact identified with this particular protected characteristic.</p>	<p>impact restricting access during the week.</p> <p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in loading using the parking options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on users.</p> <p>There is no negative impact identified with this particular protected characteristic.</p>	
<p><b>Marriage and civil partnerships</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative</p>	<p>The Library Service does not hold user data for this protected characteristic.</p> <p>In Surrey 53% of the population are married or have a civil partnership. The percentage of those in a same sex marriage is 0.2%. (Source: Surrey-i; Census 2011)</p>

	<p>offers a variety of parking options.</p> <p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts</p> <p>There is no positive impact identified with this particular protected characteristic.</p>	<p>impact restricting access during the week.</p> <p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in loading using the parking options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on user</p> <p>There is no negative impact identified with this particular protected characteristic.</p>	
<p><b>Carers (protected by association)</b></p>	<p>The proposal may result in those users accessing the library physically needing to travel a shorter distance to obtain the service offer previously received, which may incur less cost, inconvenience and time.</p> <p>The location under discussion has good public transport connections and</p>	<p>The proposal may result in those users accessing the library physically needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours. This may have a slightly negative</p>	<p>The percentage of the Surrey population providing unpaid care is 10%. The figure is similar across all the Districts &amp; Boroughs, and slightly below the national average.</p> <p>Older people are more likely to be providing unpaid care than younger people, and providing more hours of care. Nearly 14% of people aged 65 or over provide care with more than quarter of these providing 50 hours or more.</p>

	<p>offers a variety of parking options.</p> <p>The relocation will potentially widen the exposure of the collection to other service users.</p> <p>NewSPAL will offer a range of delivery and return options which will have an impact on convenience.</p> <p>The new Library Management System will offer more online services which will enable the user to control their own reservations and accounts</p> <p>There may be a greater positive impact for those with restricted availability owing to caring responsibilities.</p>	<p>impact restricting access during the week.</p> <p>The site under discussion is first floor premises with stair and lift access. The user may experience greater difficulty in loading.</p> <p>The user may also experience greater difficulty in loading using the parking options near the location under discussion.</p> <p>NewSPAL will offer a range of delivery and return options on a cost recovery basis which will have an impact on user</p> <p>There may be a greater negative impact on those with restricted availability owing to caring responsibilities.</p>	<p>Young adult carers can face barriers to education and employment which may be due to young people becoming more heavily involved in caring as they get older. Having a caring a role when aged 16 – 24 years old can affect future life opportunities.</p> <p>As the general population ages, the number of older people providing unpaid care is also expected to increase. Estimates have been produced of the number of older carers in Surrey to increase by 11% in Surrey. The largest increases are expected in Tandridge, Reigate &amp; Banstead, Woking and Epsom &amp; Ewell. (Source: JSNA 2013)</p>
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## 7b. Impact of the proposals on staff with protected characteristics

Page 87

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence																												
<p style="text-align: center;"><b>Age</b></p>	<p>The removal of the SPAL collection from Ewell Library will have limited impact on Surrey Libraries staff. There will not be any transfer of SCC staff to NewSPAL.</p> <p>There is no positive impact identified with this particular protected characteristic.</p>	<p>The removal of the SPAL collection from Ewell Library will have limited impact on Surrey Libraries staff. There will not be any transfer of SCC staff to NewSPAL.</p> <p>There is no negative impact identified with this particular protected characteristic.</p>	<p>Surrey Libraries Staff:</p> <table border="1" data-bbox="1429 647 1839 1185"> <thead> <tr> <th>Age</th> <th>Headcount %</th> </tr> </thead> <tbody> <tr><td>13 – 19</td><td>9.46%</td></tr> <tr><td>20 – 24</td><td>5.89%</td></tr> <tr><td>25 – 29</td><td>5.71%</td></tr> <tr><td>30 – 34</td><td>5.54%</td></tr> <tr><td>35 – 39</td><td>5.71%</td></tr> <tr><td>40 – 44</td><td>6.61%</td></tr> <tr><td>45 – 49</td><td>8.57%</td></tr> <tr><td>50 – 54</td><td>13.57%</td></tr> <tr><td>55 – 59</td><td>17.14%</td></tr> <tr><td>60 – 64</td><td>12.50%</td></tr> <tr><td>65 – 69</td><td>6.79%</td></tr> <tr><td>70 – 74</td><td>1.61%</td></tr> <tr><td>75 +</td><td>0.89%</td></tr> </tbody> </table> <p>(Source: Workforce Equalities Data for Surrey Libraries August 2018)</p>	Age	Headcount %	13 – 19	9.46%	20 – 24	5.89%	25 – 29	5.71%	30 – 34	5.54%	35 – 39	5.71%	40 – 44	6.61%	45 – 49	8.57%	50 – 54	13.57%	55 – 59	17.14%	60 – 64	12.50%	65 – 69	6.79%	70 – 74	1.61%	75 +	0.89%
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## 8. Amendments to the proposals

Change	Reason for change
There is no planned change to the proposal	N/A

## 9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
<p><b>Potential Negative Impact for users:</b> The proposal may result in users needing to travel a greater distance to obtain the service offer previously received, which may incur greater cost, inconvenience and time.</p> <p>The relocation will result in a loss of opening hours.</p> <p>These may have a negative impact on the following protected groups: Disability, Pregnancy &amp; Maternity, Carers, and Age and Sex as older people and females represent a greater proportion of users.</p>	<p>Investigate a range of delivery/collection options for borrowers.</p> <p>Consideration to be given following user feedback on providing a later evening opening.</p>	Transition	NewSPAL Trustees

## 10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected
None identified	N/A

# 11. Summary of key impacts and actions

<p><b>Information and engagement underpinning equalities analysis</b></p>	<ul style="list-style-type: none"> <li>• NewSPAL Business Plan</li> <li>• SPAL Consultation 2017</li> <li>• Surrey Libraries Data Management System</li> <li>• Surrey-i including: Census 2011 data; Surrey JSNA; GIRES</li> <li>• Workforce Equalities Data for Surrey Libraries August 2018</li> </ul>
<p><b>Key impacts (positive and/or negative) on people with protected characteristics</b></p>	<p><b>Potential Negative Impact:</b> The proposal may result in users needing to travel a greater distance to obtain the service, which may incur greater cost, inconvenience and time.</p> <p>This may have a negative impact on the following protected groups:</p> <ul style="list-style-type: none"> <li>• Disability, Pregnancy &amp; Maternity, Carers due to reduced accessibility</li> <li>• Age and Sex due to greater representation of older female users of this material.</li> </ul> <p><b>Potential Positive Impact:</b> The transition of the collection into Woking would result in greater accessibility and exposure to the public of the collection.</p> <p>The proposal may result in users needing to travel a shorter distance to obtain the service, which may incur less cost, inconvenience and time.</p> <p>This may have a positive impact on the following protected groups:</p> <ul style="list-style-type: none"> <li>• Age, Disability, Pregnancy &amp; Maternity and Carers due to improved accessibility</li> <li>• Age and Sex due to greater representation of older female users</li> <li>• Race, and Religion and belief due to greater representation in the locality of White Other, Pakistani and the Muslim population.</li> </ul>
<p><b>Changes you have made to the proposal as a result of the EIA</b></p>	<p>None identified.</p>
<p><b>Key mitigating actions planned to address any outstanding negative impacts</b></p>	<p>Putting in place a variety of collection/delivery options.</p> <p>Consideration to be given following user feedback on opening hours.</p>
<p><b>Potential negative impacts that cannot be mitigated</b></p>	<p>None identified.</p>

**SURREY COUNTY COUNCIL****CABINET****DATE: 26 FEBRUARY 2019****REPORT OF: MS CHARLOTTE MORLEY, CABINET MEMBER FOR CORPORATE SUPPORT****LEAD OFFICER: MICHAEL COUGHLIN, EXECUTIVE DIRECTOR C, D & T****COMMUNITY VISION OUTCOME: COUNCIL****SUBJECT: AGILE WORKFORCE DEVICE PROCUREMENT****SUMMARY OF ISSUE:**

The purpose of this report is to seek Cabinet approval to delegate authority to the Executive Director for Customer, Digital and Transformation, in consultation with the Leader of the Council and relevant Cabinet Member, to award framework call-off contract(s) for the provision of end user computer devices and associated services and to place orders during the life of the contract(s) up to a total spend value identified in Part 2 of this report.

The Agile Workforce project has been commissioned under the Surrey County Council Transformation Programme to support: culture change within services, provision of equipment for smarter working, maximise the use of property portfolio and reduce unproductive time for staff. It is anticipated that a minimum 2:1 person to desk ratio is a requirement for future working structures, this will entail fifty-percent of staff to work outside of an office environment on any given day. At current IT user head count figures this is c 4,700 staff that will need to be mobilised in a safe, effective and efficient way to protect service operations.

Surrey County Council (SCC) does not have a current procurement vehicle that can be used to buy large quantities of end-user computer devices such as laptops, desktops and hybrid devices. There is an immediate and time-pressured requirement to commence the procurement of a large number of computer devices and associated services. This requirement is to meet the needs of the transformation programme and ongoing business as usual requirements. Framework call-off contract(s) are therefore urgently needed to enable the procurement and deployment of the devices and associated services.

This delegation is sought in order to facilitate the ordering and deployment of equipment in a timely and effective manner, following a compliant procurement and award of contract(s).

## **RECOMMENDATIONS:**

It is recommended that delegated authority is granted to the Executive Director for Customers, Digital and Transformation in consultation with the Leader of the Council and Cabinet Member for Corporate Support to award framework call-off contract(s) for end user computer devices and associated services following the successful delivery of the procurement project.

## **REASON FOR RECOMMENDATIONS:**

To speed up the process of acquisition and deployment of devices by reducing the time taken to conduct a compliant procurement leading to the award of contract and the raising of purchase orders.

The device selection and procurement processes are underway but will not be completed in time for the February or March Cabinet Meetings. Time will be lost if the approval of contract award(s) has to wait until the April Cabinet meeting with a best case contract start date of the 15 May. With this delegated approval being sought the Surrey contract could commence as early as 10 April 2019.

The timescale driver is twofold:

- There is an opportunity for the Council to join East Sussex County Council (ESCC) and Brighton & Hove City Council (BHCC) in an Orbis-wide device and services procurement. The Council would benefit from advantageous pricing achieved through the economies of scale from a 20,000 device procurement, double the size of a Surrey County Council only procurement; and
- There is an urgency to commence deployment of new equipment as part of the Agile Workforce project, a key enabler within the Transformation Programme.

## **DETAILS:**

### **Background**

1. To deliver easy to use, responsive public services to residents, the Council needs to provide easy to use, modern and efficient digital technology tools to its staff. Surrey has chosen to adopt an agile approach that will enable staff to undertake most of their work from an appropriate location, relevant to their role.
2. As part of the Transformation Programme the agile workforce project will enable staff to work almost anywhere, whenever, wherever, to collaborate and contribute without constraints. It will achieve this by supporting: culture change within services, provision of equipment for smarter working, maximising use of property portfolio, reducing unproductive time for staff.
3. The Agile Workforce project proposes to deliver up to 3400 new end-user computer devices during 2019–2021. IT & Digital will also be refreshing 6100 devices currently deployed when they reach end of life over the next three Years. A contract for the Council that benefits from the total number of devices required across the Orbis partners will be put in place to ensure the best cost per end-user computer device is gained.

4. The IT & Digital Service initially working with three model teams in Adults Social Care, Occupational Therapists, Hospital team and Transition team have been undertaking end-user evaluations with a range of device types. Hybrid detachable (screen detaches from the keyboard) and hybrid convertible (keyboard folds under the screen) devices are being trialled with these teams. By mid-March these teams will also be trialling a hybrid touch screen laptop.
5. The benefits already identified from the model team feedback are primarily in the areas of: ability to work between visits avoiding return to the office, reduction in use of paper, printing and scanning, increased staff productivity and an improved client experience.
6. A model team has been also been identified in Highways with a view to trialling hybrid devices. One of their main requirements here is to reduce time transferring information from paper into their core system.
7. Equipment that is replaced through these activities will be considered for re-use where appropriate and cost effective, including opportunities to re-use in the local community. The service aspect of the contract will include the option of secure data wiping and redeployment / remarketing of the old devices.

### **Procurement Strategy**

8. The procurement of the SCC end user device contract is progressing as a collaboration with Orbis partners ESCC and BHCC to aggregate volumes and standardise requirements where possible. It is anticipated that this approach will provide the Council with the best possible outcome as opposed to a SCC standalone procurement where the cost per device gained will be based on a total number of devices of less than 50% of a combined procurement (estimated Surrey need for 9,500 devices, of a potential combined requirement of 20,000 devices).
9. We are looking to put in place IT equipment and associated service contract(s) that will meet the project and business as usual end-user equipment and associated service needs of the Council. The contract(s) will be in place for up to 4 Years, and as equipment needs, associated services and budgets are confirmed during term they will then be ordered via the contract(s).
10. After consideration of compliant and value for money procurement routes it is proposed that SCC and its Orbis partners utilise the Health Trust Europe framework. This UK national framework has been used by Guildford Borough Council, Hampshire County Council and the Metropolitan Police for their respective device refresh activities.
11. Unlike the Crown Commercial Service Technology Products 2 framework which has also been considered and reviewed, the proposed Health Trust Europe framework includes both equipment resellers and manufacturer (Dell). This provides the potential for Surrey to contract directly with a manufacturer for device supply, associated services, or both, should this provide the most economically advantageous outcome resulting from the procurement.
12. Work is currently underway to identify the procurement approach that will deliver the most value to Surrey, and ensure the contracting arrangements continue to provide value for money over their lifetime taking into consideration developments

in end-user computer technologies and impact of currency exchange rates over the duration of the contract.

13. Final selection of the framework, approach (direct award or further competition) and resulting contracting arrangements (combined equipment and services contract or separate contracts) will be agreed by following the normal Surrey Sourcing Governance Board processes.
14. The outcome of the procurement will be presented to the Executive Director who will consult with the Leader of the Council and Cabinet Member for Corporate Support to reach a decision to award / not award any contract(s).

#### **CONSULTATION:**

15. The stakeholders that have been consulted in relation to this project are as follows:

- Matt Scott, Chief Information Officer
- Andy Grogan, Head of Enterprise and Technology
- Mark Edridge, Head of Strategy & Engagement
- Michael Brett, Enterprise Infrastructure Design Manager
- Morgan Rees, Enterprise Infrastructure Delivery Manager
- Paul Izzard, Procurement Manager
- William Johnstone, Procurement Specialist
- Louise Lawson, Senior Principal Accountant
- Orbis Public Law, various representatives

#### **RISK MANAGEMENT AND IMPLICATIONS:**

16. The following key risks associated with the contract(s) have been identified, along with mitigation activities:

17.

<b>Category</b>	<b>Risk Description</b>	<b>Mitigation Activity</b>
<b>Financial</b>	Transformation budget to purchase devices not approved.	The Contract(s) let will only have a minimum commitment where the budget is fully approved (initially 460 devices).
<b>Performance</b>	Later commencement of Agile Workforce project resulting in delays in deploying new staff devices.	Cabinet to approve this delegation of authority at February Cabinet meeting.

#### **Financial and Value for Money Implications**

18. The overall estimated value of SCC contract(s) is identified in Part 2 of this report, covering both the Agile Workforce and device refresh projects. It is proposed that any additional project or 'business as usual' end user devices required during the

life of contract(s) shall also be sourced this way. These purchases will be fully approved and funded before any purchase orders are raised under the call-off contract(s) as per the Council's P2P governance process.

19. Using economies of scale will provide best value for the Council and its Orbis partners.
20. The initial use of the contract(s) will provide 460 of 960 end user devices budgeted for under the Social Care Infrastructure grant. The remaining 500 end user devices will be ordered once funding is approved.
21. Further orders under the framework call-off contract(s) are subject to support of the proposal by Capital Programme Board and Asset Strategy Board, followed by Cabinet approval of the 2019-25 Medium Term Financial Plan.
22. Any individual orders placed under this contract will follow the standard purchase to pay (P2P) governance process that ensures appropriate budgets are approved and in place before committing spend with the contracted supplier(s). Appropriate level Council Officers will approve these individual orders as per Surrey's standard financial procedures as identified below:

<b>Manager Level</b>	<b>Approval Limits</b>
Level 1 (CEO) and S151 Officer	£500,000 and above
Level 2 (Executive Director)	Up to £500,000
Level 3 (Assistant Director)	Up to £250,000
Level 4 Manager	Up to £100,000
Level 5 Manager	Up to £5000

23. Aggregate Surrey County Council order values under this contract will be monitored by the Strategic Procurement Sourcing Solutions Team before further individual orders are placed. If orders placed under this contract during its lifetime are likely to exceed the approved ceiling detailed in Part 2 of this report this will be identified early enough for a return to Cabinet before this financial ceiling is breached to approve the further expenditure under this contract.

#### **Section 151 Officer Commentary**

24. The Section 151 Officer notes the delegation of authority to award a framework call-off contract which does not commit the Council to expenditure other than that where funding has been fully approved. Further orders from the contract(s) will only be made where there is sufficient approved funding. Further control and oversight is provided by the requirement for the Section 151 Officer to approve individual orders placed under the contract(s) with a value of more than £500,000.

#### **Legal Implications – Monitoring Officer**

25. The Council is under an obligation in Section 3 of the Local Government Act 1999 to secure best value in all it does, specifically to '...secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness'. Market testing and benchmarking exercises prior to selecting the procurement framework will ensure

that best value is achieved in addition to the anticipated savings from combining orders with Orbis partners.

26. Delegating the authority to approve the framework call-off contract(s) as set out above does not automatically commit the Council to any expenditure.
27. The procurement process will involve calling off from a procurement framework that is compliant with the Public Contracts Regulations 2015 (PCRs). It is anticipated that the process to be carried out will meet the legal requirements of the PCRs and the Council's own Procurement Standing Orders. This contract will provide a swift method of fulfilling the Council's requirements as and when they arise.
28. In making its decision, Cabinet will need to satisfy itself that the proposed award is the most appropriate course of action and meets its fiduciary duties to Surrey residents.

#### **Equalities and Diversity**

29. The Council will be mindful of its equalities duties under the Equality Act 2010 in carrying out the tender process and letting the contract with due regard to the need to eliminate discrimination in age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation.
30. Surrey County Council is committed to providing its services in a way which promotes equality of opportunity at every possibility. The contract document stipulates that the supplier will comply with the relevant Equality and Diversity legislation. It is expected that the appointed supplier will be fully committed to equality and diversity in their service provision and will ensure compliance with all anti-discrimination legislation.
31. The end-user devices specified under the contract(s) are a standard set of devices that will be a direct replacement for the current standard devices. Any users with specific requirements will be dealt with on a personal needs basis under the access to work process.
32. There are no TUPE implications as a result of this contract

#### **WHAT HAPPENS NEXT:**

33. Estimated timescales for completing the actions contained in the report are as follows (Cabinet and Cabinet Member activities in bold):

<b>Action</b>	<b>Date</b>
Pre-Sourcing Governance Board (SGB) approval of Strategic Sourcing Plan (SSP) Route-to-Market	w/c 21 January 2019
Strategic Sourcing Plan presented to Sourcing Governance Board for approval of Route-to-Market	29 January 2019
Procurement commences	w/c 11 February 2019

<b>Cabinet decision to delegate its authority to award this contract to the Executive Director in consultation with Leader of the Council and Cabinet Member for Corporate Support</b>	<b>26 February 2019</b>
Supplier offers received	1 March 2019
Evaluation of offers	w/c 4 March 2019
Pre-Sourcing Governance Board (SGB) approval of Strategic Sourcing Plan (SSP) proposed Award(s)	w/c 11 March 2019
Strategic Sourcing Plan presented to Sourcing Governance Board for approval of proposed Award(s)	19 March 2019
<b>Delegated decision to award Surrey contract by Executive Director in consultation with Leader of the Council and Cabinet Member for Corporate Support</b>	<b>Between 20 and 22 March 2019</b>
Procurement 'Alcatel' 10 day standstill period	25 March to 4 April 2019
Contract/Agreement Signature	Between 8 and 9 April 2019
Contract Commencement Date	10 April 2019

**Contact Officer:**

Matthew Scott, Chief Information Officer, IT & Digital  
Tel: 07552286752

**Annexes:**

Confidential Part 2 Annex

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**SURREY COUNTY COUNCIL****CABINET****DATE: 26 FEBRUARY 2019****REPORT OF: MS CHARLOTTE MORLEY, CABINET MEMBER FOR CORPORATE SUPPORT****LEAD OFFICER: MICHAEL COUGHLIN, EXECUTIVE DIRECTOR C, D & T****COMMUNITY COUNCIL****VISION****OUTCOME:****SUBJECT: MICROSOFT ENTERPRISE LICENSE AGREEMENT RENEWALS****SUMMARY OF ISSUE:**

Currently Surrey County Council uses Microsoft software licence agreements to provide Council employees with access to software productivity packages such as Word, Excel, Email, Calendar and Skype. The licencing also covers IT infrastructure elements used in the delivery of business applications to the organisation.

The current Microsoft agreements will expire during May and June 2019 and there is no option to extend these beyond this term, requiring re-procurement of these agreements.

This report sets out recommendations arising from work on options for the provision of Microsoft Enterprise License Agreement Renewals and outlines a competitive procurement process which was carried out in order to select a supplier to deliver the service.

The procurement has been carried out to find a single Microsoft Licence Solution Partner for Surrey County Council and their Orbis partners, East Sussex County Council and Brighton and Hove City Council. This approach will secure the expertise and services of a single Microsoft Licence Solution Partner across all three Councils to assist in developing and enabling the IT strategy for Orbis.

The procurement process is at the stage where Cabinet approval is required in order to award the contract to Phoenix Software Limited to commence the service from 1 March 2019.

Due to the commercial sensitivity the procurement assessment results these details have been provided as a confidential Part 2 of this report.

Microsoft have agreed to provide additional support for five Councils, including Surrey County Council. These five Council's will be used as case studies to showcase how public sector authorities can optimise their investment in Microsoft products and services and realise value for money and efficiencies.

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**RECOMMENDATION:**

It is recommended that Cabinet approves the award of contract for the provision Microsoft Enterprise License Agreement Renewals to Phoenix Software Limited.

**REASON FOR RECOMMENDATIONS:**

The three existing Surrey Microsoft agreements will expire on 31 May 2019 and 30 June 2019. A competitive mini-competition process in compliance with the requirements of Public Contract Regulations and Procurement Standing Orders has been completed. The recommended supplier offered overall best value for money in the procurement process. Detailed assessment of the offers received is circulated in Annex 1 Procurement process and in confidential Part 2 of the report.

The recommendation to award this contract in February will enable the Council to remain compliant with their Microsoft licensing requirements. By awarding the contract and committing to the new agreements before 31 March 2019 the Council will avoid the October 2018 price rise and any further price rises prior to the commencement of the new agreements. This action will avoid the October price rise of £79,000 per annum, £237,000 over the three year term of the new agreements.

**DETAILS:****Background**

1. To deliver easy to use, responsive public services to residents, the Council needs to provide easy to use, modern and efficient digital technology tools to its staff. Surrey has chosen to adopt a Microsoft-based software approach, in line with many partnering authorities.
2. The new Microsoft Enterprise Subscription Agreements will replace the current three year agreements, which expire in 2019, and ensure the most appropriate, cost effective, flexible and compliant licensing solution is implemented to meet the current and future needs of the organisation.
3. The new agreements will provide the licence coverage for the Microsoft end user applications and back office server infrastructure used to deliver business applications to the Council. This includes Operating System, user access licences and other software such as Microsoft Office providing email, word processing and spreadsheet functionality all critical for the Council to carry out its functions.
4. Surrey County Council entered into three separate three-year enterprise licencing agreements with Microsoft via software reseller Phoenix Software in 2016. This contract fixed the pricing for the three year term, avoiding year on year Microsoft price increases.
5. During this time, Microsoft pricing for the UK Public Sector increased significantly due to currency exchange rates and a drop in the value of the

pound, with Microsoft harmonising pricing across six different currencies. The most recent of these Microsoft increases came into effect on 1 October 2018.

6. By committing to new Microsoft enterprise licencing agreements by the end of March 2019, three months earlier than the renewals are due, Surrey County Council will benefit from the pre-October 2018 Microsoft pricing.
7. This action will avoid additional spend of £79,000 per annum, £237,000 over the three year period of the new agreement term, based on the October pricing.
8. Even when taking advantage of the pre-October 2018 Microsoft pricing the cost of the Microsoft license renewals will still equate to a 41.94% increase when compared with the cost of the current license agreements.
9. In parallel to running a mini-competition to identify the preferred reseller, Orbis Procurement have initiated a piece of work challenging Microsoft on the price increases and are pushing for the Public Sector to be treated in a similar way to educational institutes and the third sector. Educational and third sector licenses cost a third of the price of public sector licenses, with the public sector standard price negotiated on behalf of authorities by the Crown Commercial Service (CCS).
10. The group challenging and negotiating with Microsoft includes a Crown representative, CCS, Local Government Association (LGA) and the Society of Information Technology Managers (SOCITM).
11. This process is ongoing, but so far has resulted in the following results:
  - The deadline for signing up to the pre-October pricing has been extended from 31 December 2018 to 31 March 2019 – this also avoids any further price rises prior to the start of the agreements.
  - Microsoft have agreed to provide additional support for five Councils, including Surrey County Council. These five Council's will be used as case studies to showcase how public sector authorities can optimise their investment in Microsoft products and services and realise value for money and efficiencies.

Any further savings identified through the Microsoft intervention, or as a result of the challenge process, will be included in the new agreements.

12. Council staff who fully perform a role that meets one of the Microsoft definitions of an educational user qualify for a 'Microsoft Faculty License'. These cost approximately £100 per user per year less than a standard user license. Some examples of these types of users are staff who work in libraries, museums and LEA support teams such as school admissions.
13. Work to identify users who could be categorised as educational is underway with the expected number to be approximately 800 users which would result in an £80,000 reduction in the annual user license cost.
14. The range of functionality included in Microsoft license agreement will increase under the renewal. This and improvements in existing functionality will mean that 3rd party solutions previously used to provide specific functionality can now be replaced by Microsoft functionality resulting in a reduction in 3rd party costs.

Examples of this extra / improved functionality is device encryption, anti-virus software and mobile device management.

### Software Strategy

15. The Microsoft product suite represents a significant contribution to Surrey's organisational productivity as well as the software being the basis of the Council's core infrastructure.  
Microsoft is the preferred operating platform of choice due to the following rationale:
  - It is well established in all sectors but especially strong in corporate environment and across local government. All Surrey partner organisations at county, borough and district level are either on premise with Microsoft or using O365 at this time. This has made convergence easier; examples being with the NHS, East Sussex Country Council and Brighton and Hove City Council.
  - The vast majority of business Software vendors build integration with Microsoft in mind and alternative products would cause issues for a number of council services.
  - A substantial vendor support ecosystem provided lots of choice of applications and people to work with (over 30,000 suppliers).
  
16. Prior to the migration from Lotus Notes to Microsoft O365 a detailed review was undertaken to compare Microsoft with the comparative products provided by Google. The review of the market including potential alternatives is an on-going activity carried out by IT & Digital. The findings from the analysis conducted for the original business case for Microsoft O365 remain valid.
  
17. There are some key business, financial and technical reasons which currently still support the business case for remaining with Microsoft as our chosen collaboration suite partner of choice:
  - Moving to Google G-Suite as an alternative to Office 365 would work out more expensive if the aim was to still maintain Microsoft Products on our laptop, desktop and server estates.
  - The way in which the licensing works – not renewing the O365 licencing would mean the Council would have to license the Office suite 'on-premises' or seek alternatives (such as Open Office) which would have a significant 'cost of change', impact to productivity of our customers and cause problems for line of business systems which exclusively integrate with Office.
  - Furthermore, the licensing for each individual device (client access license) is bundled up within the current O365 offer. Therefore, we would need to either seek to license devices 'on-premises' at higher cost or we would need to consider alternative desktop operating systems such as Ubuntu or Redhat. This would present a significant cost of change and familiarisation challenge for our customers whilst severely reducing our interoperability with the majority of the rest of the world.
  
18. In summary, five years ago the decision was made to move to O365 from Lotus Notes based upon a balanced assessment of pedigree, interoperability, the likelihood that Surrey would maintain the need for the Office productivity suite and Windows platform, against how that would impact the total costs including cost of change and loss of productivity to the organisations against the base costs of G-Suite. This position has not changed and is compounded by the fact

that any change of direction would take time and therefore still require a renewal with Microsoft to allow for the time required for the relevant implementations / migrations to happen. Google G-Suite does not offer certain features by default that our customers have come to expect such as single sign on from Outlook or via G-Suite's web interface. To implement such functionality in a meaningful way would still involve licensing Microsoft cloud licensing in the form of Azure AD to make this work and would result in additional cost and complexity.

### **Procurement Strategy**

19. The decision was taken that there should be a single Microsoft Licence Solution Partner for Surrey County Council and their Orbis partners, East Sussex County Council and Brighton and Hove City Council. This will secure the expertise and services of a single Microsoft Licence Solution Partner across all three Councils to assist in developing and enabling the IT strategy for Orbis.
20. Microsoft license pricing is negotiated at a national level by Crown Commercial Service on behalf of the whole of the Public Sector in the UK and even a collaborative procurement activity such as this does not influence the base level Microsoft Public Sector discounts applied to the resulting agreements.
21. The current contract had a term of three years, with the option to extend for a further two years to enable new three year enterprise agreements to be entered into.
22. Following the receipt of a quote from our current provider, a benchmarking exercise was carried out. The results of this benchmarking indicated that the Council would be able to make further savings and deliver best value through running a competitive process.
23. An invitation was issued on behalf of the three Councils through the Microsoft Lot of the KCS National Software Products and Services framework in compliance with the requirements of Public Contract Regulations and Procurement Standing Orders.
24. The use of a framework will deliver the benefits of reduced timescales, compared to running a full EU tender. The framework only includes those resellers who have been pre-qualified as technically capable of providing the required services and licensing advice, along with most favourable discounting levels and terms.
25. Seven responses were received from the mini-competition and following the evaluation Phoenix Software Limited was identified as offering overall best value for money.
26. Detailed assessment of the offers received is circulated in confidential Part 2 of the report.
27. The detailed information about the procurement process is contained within background paper Annex 1.

## Key Implications

28. By awarding a contract to a Microsoft Licensing Solution Partner for the provision of Microsoft Enterprise Agreement Subscriptions, the first of which will commence on 1 June 2019, the Council will ensure it is fully compliant under Microsoft licensing terms.
29. The additional £0.4m cost is not included in the 2019/20 budget and is therefore a budget pressure to be managed by Customer Digital & Transformation.
30. Performance will be monitored and benchmarked through a series of Key Performance Indicators as detailed in the contract and reviewed at regular operations meetings.
31. The management responsibility for both the Microsoft Licensing Solution Partner contract and the Microsoft Enterprise Agreement Subscription itself lies with IT&D Contract Managers and will be managed in line with the Contract Management Strategy and plan as laid out in the contract documentation which also provides for fixed annual licence charges at the commencement of the subscription agreement, flexibility to increase and decrease licence subscription volumes annually on anniversary, and capped mark-up on any additional types of licences that may be required.

### **CONSULTATION:**

32. The stakeholders that have been consulted in relation to this project are as follows.
  - Matt Scott, Chief Information Officer
  - Michael Brett, Core Infrastructure Manager
  - Andy Grogan, Head of Enterprise and Technology
  - Morgan Rees, Enterprise Infrastructure Delivery Manager

### **RISK MANAGEMENT AND IMPLICATIONS:**

33. The Microsoft Enterprise Subscription Agreements allow for decreases in license numbers as part of an annual declaration and true-up activity, which will allow the Council to reduce license subscriptions should the opportunity arise.
34. There is ongoing work, which will continue throughout the contract, looking at the licenses we hold and ensuring that we have the right levels and types (including full licenses and educational licenses), with a view to reducing quantities and costs.
35. The award will be to a reseller via a public procurement framework, which means they will have successfully completed satisfactory financial checks as well as checks on competency in delivery of similar contracts at the pre-qualification stage.
36. The recommended tenderer successfully completed satisfactory financial checks.
37. The following key risks associated with the contract have been identified, along with mitigation activities:

Category	Risk Description	Mitigation Activity
Financial	Additional licences required due to growth in user population or back office infrastructure.	Where possible IT&D will fund within existing resources. If this is not possible it will be addressed through the budget planning process.
Reputational & Financial	Incorrect licensing in place and risk of audit and fines from Microsoft.	Regular monitoring by IT&D and Microsoft Licensing Solution Provider to ensure Council is fully compliant, alongside engagement with Microsoft directly.

### **Financial and Value for Money Implications**

38. Spend on the three existing Surrey three-year Microsoft enterprise agreements has been approximately £1.55m per year (£4.65m total value over the three year term).
39. Since the start of the current agreements in July 2016 Microsoft pricing for the UK Public Sector has increased, due to inflation, exchange rates and the harmonisation of pricing across Europe.
40. Prior to going out to tender, indicative quotes were obtained from three Microsoft License Partners and the average pricing received was £2.2m per year (£6.6m over the three year term). This pricing represented an increase of around £0.65m per year (a 41.94% increase).
41. Following the mini-competition tendered pricing from the preferred reseller, Phoenix Software Limited, suggests expenditure for Surrey County Council under the new enterprise agreements will be in the region of £1.97m per year (£5.91m over the three year term).
42. These figures are likely to vary during the term of the agreements. Variations will be based on the specific mix and quantity of licences required to meet any changes to the Council's needs, including changes to the available license types, staffing levels and user types.
43. The first piece of work the preferred reseller will carry out will be to review the user base, license types and quantities to identify any opportunities for further savings.
44. As part of the work to challenge Microsoft on the pricing being offered to the Public Sector, initiated by Orbis Procurement and involving a Crown representative, CCS, LGA and SOCITM, Surrey County Council have been selected to be used as a case study to demonstrate how the Council can optimise their investment in Microsoft products and services and to realise cost-effectiveness and efficiencies. As part of the work to inform the case study Microsoft will be providing additional support to identify the best value mix of licenses.
45. The tender pricing represents an overall cost increase of 27.16% (£0.42m per year). This increase is not included in the Customer, Digital and Transformation

2019/20 budget as the amount was not known at the time. It is therefore a budget pressure of £0.4m.

46. By entering into the Microsoft agreements by the end of March 2019, the October price increase (and any further increases before the new agreements commence in June 2019) can also be avoided.
47. This is an early commitment to enter into new three-year enterprise agreements with Microsoft, and raise orders before the end of March 2019. The first payments will fall due in June / July 2019, when the current agreements expire, and then payments will be due on the subsequent anniversaries.
48. The IT & Digital service are currently reviewing IT infrastructure arrangements, with savings forecast. These savings will be used to off-set some of the increased costs of the Microsoft Enterprise Subscription Agreements.
49. In parallel to securing approval for the new three year agreements, as detailed above, Orbis IT & Digital and Procurement personnel are working with a number of other Public Sector organisations and bodies to leverage our collective buying power with assistance from the Crown Commercial Service (CCS) and members of the Local Government Association (LGA). An initial meeting took place in October 2018 and as a result of this meeting Microsoft extended the deadline for signing up to the pre-October pricing from December 2018 to March 2019.

#### **Section 151 Officer Commentary**

50. The Section 151 Officer recognises that this cost increase is a public sector wide issue which unfortunately the sector has not been able to challenge and reduce. As the value of the increase was previously unknown it was not included as a 2019/20 budget pressure. The 2019/20 IT&D budget includes £1.6m for the annual cost of Microsoft, based on the previous price, however it does not provide for the additional £0.4m increased cost. As Customer, Digital & Transformation already has a challenging savings target of £9.9m next year there is a risk that further savings will not be achievable to off-set this increased cost.

#### **Legal Implications – Monitoring Officer**

51. The Council is a 'best value authority' by virtue of Section 1 of the Local Government Act 1999. This means the Council 'must make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness'. The proposals in this report are intended to meet this duty through the Council's status as a case study for the public sector and combining re-procurement activities together with Brighton & Hove City Council and East Sussex County Council.
52. A procurement of services of this value must be undertaken in accordance with the requirements of the Public Contracts Regulations 2015 ('PCRs'). The procurement route utilised was a call off against the Microsoft Lot of the KCS National Software Products and Services Framework. Legal Services reviewed this framework and confirmed it complies with the requirements of the PCRs.

53. In reaching its decision, Cabinet will need to determine whether the proposed award is an appropriate course of action for the Council. Cabinet should be cognisant of its fiduciary duties to Surrey residents in managing the Council's limited resources.

#### **Equalities and Diversity**

54. The Council has been mindful of its equalities duties under the Equality Act 2010 in carrying out the tender process and letting the contract with due regard to the need to eliminate discrimination in age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation.
55. Surrey County Council is committed to providing its services in a way, which promotes equality of opportunity at every possibility. The contract document stipulates that the supplier will comply with the relevant Equality and Diversity legislation. It is expected that the appointed suppliers will be fully committed to equality and diversity in their service provision and will ensure compliance with all anti-discrimination legislation.
56. There are no TUPE implications as a result of this contract and Microsoft agreement.

#### **WHAT HAPPENS NEXT:**

57. The timetable for implementation is as follows:

<b>Action</b>	<b>Date</b>
Cabinet decision to award	26/02/2019
Contract Signature	01/03/2019
Contract Commencement Date	01/03/2019
Review license types and quantities	01 to 15/03/2019
Submit required agreement license quantities	18/03/2019
Sign Microsoft Agreements	25 to 29/03/2019

#### **Contact Officer:**

Nathaniel Burrows, Strategic Procurement Manager, Orbis Procurement  
Tel: 07703 453452

#### **Consulted:**

- Matt Scott, Chief Information Officer
- Michael Brett, Core Infrastructure Manager
- Andy Grogan, Head of Enterprise and Technology
- Morgan Rees, Enterprise Infrastructure Delivery Manager

#### **Annexes:**

Annex 1 – Procurement process  
Confidential Part 2 Annex

**Sources/background papers:**

## Annex 1 – Procurement Process

Summary of Procurement process in respect of the contract for Microsoft Enterprise Subscription Agreements.

1. The existing contract for the provision of Microsoft Enterprise Subscription Agreements will expire on 30 June 2019. A mini-competition process compliant with the Public Contracts Regulations 2015 and Procurement Standing Orders has been carried out following the approval of the Sourcing Plan by the Sourcing Governance Board (SGB).
2. The SGB considered the following options:
  - a. **Option 1 – Run a mini-competition under the KCS Software Products and Associated Services framework for new Microsoft Enterprise Subscription Agreements**  
 This framework has been chosen because there is a dedicated Microsoft Lot and includes our incumbent reseller and the resellers that currently deliver other contracts for the Council. All of the resellers on the dedicated Microsoft lot have a high level of Microsoft accreditations and partnership status, which provides assurance that the resellers will receive the best pricing from Microsoft and provide a high level of experience. The framework also includes the ability to carry out a direct award to our incumbent reseller, but benchmarking and supplier engagement activities indicated that savings could be achieved by carrying out a further competition. Option 1 was the preferred option.
  - b. **Option 2 – Run a mini-competition under the an alternative framework framework for new Microsoft Enterprise Subscription Agreements**  
 The use of either the Crown Commercial Service (CCS) or Health Trust Europe (HTE) frameworks were considered, but these were rejected because they did not have a dedicated Microsoft lot and the HTE framework didn't include our incumbent reseller.
  - c. **Option 3 – Run a full EU compliant tender**  
 This option would not deliver any additional benefits to the frameworks that were considered, but would require additional time and resource commitment. The time requirements of this approach would mean the Council would not meet the Microsoft commitment deadline of 31 March 2019.
3. In order to implement Option 1, a mini competition on the framework was published. Participation in the mini-competition procedure is accessible to all companies on the Microsoft Lot of the KCS Software Products and Associated Services framework.
4. The tender stage commenced on 11 January 2019. By the closing date of 12:00 Midday on 31 January 2019 responses from seven (7) tenderers had been submitted.
5. The tenders were evaluated using a two stage evaluation. Stage 1 was the quality evaluation, with a minimum threshold of 70% required to progress to stage 2. Stage 2 was the price evaluation, with the lowest priced proposal identified as the preferred bidder.

6. In accordance with best practice each response to Quality/Technical questions were assessed by three (3) evaluators independently. The evaluators then met to discuss and moderate their scores in the presence of an experienced moderator.
7. Six (6) tenderers achieved the minimum 70% threshold for the Stage 1 evaluation.
8. The Evaluating Panel recommends that tenderer who submitted the lowest Stage 2 bid is appointed to the Microsoft Enterprise Subscription Agreements contract.
9. The award of the contract (Gateway 3 of the Strategic Sourcing Plan) was approved by the Sourcing Governance Board on 12 February 2019.
10. All tenderers were informed of the preliminary outcome of the procurement process and that the formal tender results are subject to Cabinet approval to award contract(s)/frameworks.

**SURREY COUNTY COUNCIL**

**CABINET**

**DATE: 26 FEBRUARY 2019**



**REPORT OF: MR COLIN KEMP, DEPUTY LEADER**

**LEAD OFFICER: LEIGH WHITEHOUSE, EXECUTIVE DIRECTOR OF FINANCE**

**COMMUNITY COUNCIL**

**VISION**

**OUTCOME:**

**SUBJECT: SURREY COUNTY COUNCIL PREPARATIONS FOR EXITING THE EUROPEAN UNION (BREXIT)**

#### **SUMMARY OF ISSUE:**

This report updates Cabinet on the ongoing work Surrey County Council is undertaking to prepare for all eventualities of Brexit. The council's preparations aim to mitigate any potential implications for the county – particularly in the immediate and short term – and support residents, communities and organisations. Using the Ministry for Housing, Communities and Local Government preparedness checklist as a framework, the report details the work that has been undertaken by the council and for the county. It also shows the partnership work that has been taking place with central government, neighbouring counties, our boroughs and districts, health partners, local enterprise partnerships and the chamber of commerce.

#### **RECOMMENDATIONS:**

It is recommended that Cabinet endorse:

- The current position of the council's preparations, including the plans and preparations that are expected to be implemented by Friday 29 March 2019 (expected date for Britain's formal withdrawal from the European Union).

#### **REASON FOR RECOMMENDATIONS:**

Brexit carries a number of potential possibilities and implications for the county. Surrey County Council has a responsibility to prepare for all eventualities, particularly those which pose negative implications for residents, communities and organisations. The council's ongoing work outlines how it will ensure the necessary plans and preparations are in place to mitigate any potential immediate and short term implications and provide support and assurance where possible.

#### **DETAILS:**

##### **Background**

1. Britain will formally leave the European Union (EU) on Friday 29 March 2019. The government has negotiated a draft withdrawal agreement with the EU. In order to finalise

the agreement before the UK's formal withdrawal (confirming a Brexit 'Deal'<sup>1</sup>), the government must receive approval from the UK Parliament.

2. Brexit, in both a 'Deal' or 'No Deal'<sup>2</sup> scenario, presents an array of potential possibilities, implications and uncertainties. Surrey County Council has a statutory obligation to deliver key public services and a role to support residents, communities and organisations as the relationship between the UK and EU changes and develops.
3. Surrey County Council's preparations are primarily coordinated by an officer working group. The working group focuses on the council's immediate and short term planning for all Brexit eventualities, aiming to ensure the necessary mitigating plans and preparations are in place by the time Britain formally withdraws from the EU.
4. The Ministry for Housing, Communities and Local Government (MHCLG) have recently provided local authorities with a Brexit preparedness checklist (see Annex A). The checklist outlines the key areas where council's will want to ensure that the necessary plans, preparations and mitigation is undertaken.
5. The MHCLG checklist provides a framework to present the council's preparations, including the key risks within the respective key areas and the mitigating actions the council have, or will, undertake.

#### **Maintaining the delivery of statutory services**

6. The council has a core responsibility to deliver statutory services such as social care, planning, environmental and education services. Therefore, as part of Brexit preparations, the council will ensure any potential implications for service delivery are minimised and mitigated.
7. The primary risk for service delivery is a potential reduction in the council's workforce and those staff employed by providers. That is, if non-UK EU staff choose to leave or relocate there may be reduced capacity to deliver core services.
8. The council's staff are an integral part of service delivery. As an employer, the council has been supporting and reassuring members of staff that have been, or will be, affected by Brexit. Internally, the council have shared guidance and support to staff, this included an offer to reimburse staff on their EU Settlement Scheme application costs, prior to the government's announcement to waive the fees. The council will continue to provide guidance as further clarity develops from central government.

#### **Maintaining the delivery of regulatory services**

9. In partnership with Buckinghamshire County Council, the council is responsible for Trading Standards. This is considered the main regulatory service that may be affected by Brexit.
10. The Buckinghamshire and Surrey County Council Trading Standards team is a market surveillance body, responsible for inspecting goods that cross the national border. In

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<sup>1</sup> For the purposes of this document, a 'Deal' scenario refers to the passage and royal assent of a/the Withdrawal Agreement which outlines the terms of the UK's withdrawal from the EU before the 29 March 2019

<sup>2</sup> For the purposes of this document, 'No Deal' refers to the withdrawal of the UK from the EU on 29 March 2019, without the passage of a Withdrawal Agreement.

both a 'Deal' and 'No Deal' scenario the UK will inherit new trading standard responsibilities which will have an impact on the service, including a potential increase in demand.

11. The service has been proactively engaging with government departments and other authorities in order to ensure contingency plans are in place. These plans include prioritising more market surveillance on products to ensure they comply with regulations and exploring options to respond to demand such as employing additional staff. The service will continue to monitor developments and liaise with government departments, particularly to ensure key staff are trained following clarity around new, or changes in, legislation.

### **Understanding and mitigating the impact from any Border areas**

12. Whilst Surrey has no borders with other countries, the county may experience indirect border disruption spilling over from neighbouring areas. In particular, the council have been assessing potential implications due to disruptions experienced in Kent.
13. The particular risk is potential implications for traffic flow (the challenges around congestion for Kent are detailed comprehensively in recent a Kent County Council report<sup>3</sup>). Any major implications for traffic flow in neighbouring areas on the national border, particularly due to freight congestion, will have a knock on affect for Surrey. The council have been working closely with neighbouring authorities, particularly with Kent County Council and Essex County Council, to support their traffic management plans (including Operation Stack and Operation Brock). These plans aim to maintain traffic, particularly freight, fluidity. Furthermore, as part of Surrey's Local Resilience Forum capabilities, the council have been planning highways welfare arrangements to support motorists during any periods of stationary traffic.

### **The impact on supply chains**

14. The council relies on suppliers to help deliver services. Through engagement with suppliers, particularly the Care and Construction industries, the primary risk is around potential staff shortages. Any staff shortages for suppliers may incur additional costs to the council to maintain service provisions. The council is establishing contingency plans with suppliers and providing support for their preparations.

### **Data handling**

15. There are some EU databases that help support service delivery, for instance to help trading standards understand which goods, foods and businesses pose any threats. The council have been assessing any potential impact on services due to changes in accessibility to EU databases and information flow. The council will continue to maintain a watching brief and align contingency plans with governmental and the Information Commissioner's Office guidance.

### **Local partnership working**

16. Working with partners is an integral part of countywide and council Brexit planning. Joint-planning is required to ensure Surrey remains open for business and any impact on resident's day-to-day lives and activities is minimised.

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<sup>3</sup> See [Brexit Preparedness – Kent County Council update](#)

17. A key partnership with a central role in Brexit planning is Surrey's Local Resilience Forum (LRF). The LRF is a multi-agency partnership that brings together all agencies which have a significant role in responding to, and recovering from, the effects of emergencies. Representatives include Surrey County Council, NHS England, Environment Agency and boroughs and districts, which are all Category 1 responders under the Civil Contingencies Act 2004. The LRF is also supported by Category 2 responders, such as Highways England and utility companies<sup>4</sup>.
18. With regards to Brexit planning, The LRF's strategic intent is to mitigate any negative or detrimental immediate effects in Surrey. This entails ensuring residents are reassured, both individuals and communities are treated with dignity and respect, and business activity in our communities is supported. The LRF is also a key communication stream between the council and central government. LRF capabilities have a countywide focus but compliment and align with the council's plans and preparations.
19. In addition to the LRF, the council has been working with numerous stakeholders and has had an active role in a number of other partnerships, including:
- a. Boroughs and districts. The council have been working closely with boroughs and districts to ensure plans and preparations align, particularly around support for vulnerable residents.
  - b. South East 7 (SE7). SE7 is a partnership comprised of seven South East councils (Brighton and Hove, East Sussex, Hampshire, Kent, Medway, Surrey, West Sussex). The council has been liaising with SE7 around joint-planning opportunities and identifying key risks for the South East region. SE7 also acts as communication stream between South East local authorities and central government.
  - c. Businesses, Local Enterprise Partnerships and Surrey Chamber of Commerce. The council has been engaging with the local business stakeholders to understand their concerns and how the council can provide support.
  - d. Local Government Association (LGA). The council have been engaging with, and contributing to, the work of the LGA's Brexit Taskforce.

### **Communication with residents and organisations**

20. The council has a responsibility to support residents, ensuring they are settled and reassured within their communities. Furthermore, the council has a role in 'place shaping' Surrey which entails working with businesses to develop strategies for increasing the skills and employment of our residents and supporting other organisations, such as the voluntary, community and faith sector to help Surrey's communities prosper.
21. In addition to the aforementioned direct engagement with various stakeholders, the council is supporting residents and organisations through digital platforms, namely a web page on the Surrey County Council website<sup>5</sup>. The web page acts as a signposting tool, utilising official sources (e.g. gov.uk) to provide key information and guidance.

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<sup>4</sup> See [Surrey's Local Resilience Forum](#)

<sup>5</sup> See [Surrey County Council and Brexit](#)

**CONSULTATION:**

22. Engaging with stakeholders is a key part of Brexit planning. Through the LRF the council have been liaising with public bodies such as emergency services, health bodies, government agencies, other local authorities.
23. As part of wider planning, the council has been engaging with external stakeholders such as businesses, local enterprise partnerships, organisations from the voluntary, community and faith sector to understand implications within the respective sectors.
24. Internally, the council has been engaging with officers from numerous services and the relevant Cabinet Members.

**RISK MANAGEMENT AND IMPLICATIONS:**

25. As part of the council's initial emergency planning, the government asked local authorities to review their emergency plans and assess whether Brexit had any impact on these. It was concluded that our emergency plans were sound and addressed any possible worse case scenarios.

**FINANCIAL AND VALUE FOR MONEY IMPLICATIONS:**

26. As the Surrey LRF budget holder, the council will be receiving a funding allocation from MHCLG as part the funding announced to support Local Resilience Forums. The council will receive the allocated £38,043.48 and has a legal and fiscal responsibility to spend this in line with the MHCLG criteria (see Annex B).
27. In addition to the funding for the LRF, the council will also receive a £175,000 grant from central government over the next two years to fund planning and manage capacity to respond to any Brexit implications<sup>6</sup>.

**SECTION 151 OFFICER COMMENTARY**

28. Brexit presents the County Council with a series of risks and implications which are outlined in this paper. Although it is not presently possible to quantify these with any accuracy, the preparations for its impact will lead to additional costs that may exceed the government funding available.

**LEGAL IMPLICATIONS – MONITORING OFFICER**

29. Under the Civil Contingencies Act 2004 the Council has a duty to assess, plan and advise in relation to an emergency. The term “emergency” is widely defined as being an event or situation which threatens serious damage to human welfare, the environment or national security. In pursuance of this duty the Council is working with its partner agencies to identify, assess and plan for emergency situations that may arise as a result of Brexit.
30. At this point the Cabinet is only being asked to note that this work is being carried out and to endorse its continuance. No legal implications flow from that.

<sup>6</sup> See [Councils in England to receive over £50 million to support Brexit preparations](#)

## EQUALITIES AND DIVERSITY

31. An Equality Impact Assessment (EIA) is not needed for this report as the decisions asked of Cabinet do not have any direct equality implications. However, when there is clarity around the terms of Brexit, any subsequent services changes will be accompanied by an EIA.
32. Under Equality Act 2010, race is considered a protected characteristic – this includes nationality. Brexit will have a disproportionate impact on EU nationals. Therefore, as the terms of Brexit become clearer, the council will need to establish an understanding of the implications for affected residents and staff.

## WHAT HAPPENS NEXT:

33. The council will continue the ongoing work to ensure Surrey is prepared for all Brexit eventualities. The working group will continue to coordinate the council's Brexit preparations.

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### Contact Officer:

Thomas Pickup, Policy and Strategic Partnerships Officer, 01737737391

### Consulted:

Surrey County Council's Corporate Leadership Team  
Surrey County Council's Brexit Working Group  
Chair of the Surrey Local Resilience Forum

### Annexes:

Annex A – MHCLG local authority preparedness checklist  
Annex B – Local Resilience Forum Additional Funding Letter

### Sources/background papers:

- Report from Kent County Council: Brexit Preparedness – Kent County Council Update (<https://democracy.kent.gov.uk/documents/s88112/Item%20%20-%20Brexit.pdf>)
  - Surrey's Local Resilience Forum (<https://www.surreycc.gov.uk/people-and-community/emergency-planning-and-community-safety/emergency-planning/surreys-local-resilience-forum>)
  - Surrey County Council and Brexit (<https://www.surreycc.gov.uk/council-and-democracy/brexit-support>)
  - HM Government: The withdrawal agreement and political declaration on our future relationship with the EU ([https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/759023/25\\_November\\_Explanatory\\_slides\\_for\\_the\\_Withdrawal\\_Agreement\\_and\\_Political\\_Declaration\\_on\\_our\\_future\\_relationship\\_with\\_the\\_EU.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/759023/25_November_Explanatory_slides_for_the_Withdrawal_Agreement_and_Political_Declaration_on_our_future_relationship_with_the_EU.pdf))
  - Brexit funding for local authorities (<https://www.gov.uk/government/news/councils-in-england-to-receive-over-50-million-to-support-brexit-preparations>)
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## Annex: Local authority Preparedness Check List

As leaders of place and with responsibility for local authority services, council leaders and their senior colleagues will want to assure themselves that their council has undertaken the necessary EU Exit impact assessments, relevant planning and prepared appropriate mitigation plans in relation to the following areas:

1. **All the statutory services for which the council is responsible.** These will include, but are not limited to social care, child protection, education, environmental, leisure and community services.

Members will want to be assured that the council has undertaken an assessment of the proportion of EU nationals in its workforce and/or those employed in commissioned services and in relevant supply chains. If there is a significant risk, have members been assured that communications channels are in place to support and advise members of the workforce and that contingency plans are in place.

2. **All regulatory services for which the council is responsible.** These include, but are not limited to environmental health, trading standards and port health authority responsibilities.

Members will want to be assured that the council has undertaken an assessment to consider the potential impact on your regulatory services, including putting contingency plans in place to respond to increased demand.

3. **The impact (direct or indirect) of any Border areas** (air or sea ports) either in your council boundary or within neighbouring/regional boundaries, which may have an impact on your council's:

- Local infrastructure;
- Delivery of statutory services;
- Availability of essential supplies; or
- The most vulnerable in your community.

Members will want to be assured that the council has considered whether it will face either direct or indirect impacts on the provision of essential services if there are delays at the border. Assessments should include a consideration of potential transport flows, impacts on local infrastructure and the potential impact on the delivery of key supplies that maintain council services (whether in house or outsourced), be they care homes, schools or waste plants for example.

4. **The impact on supply chains;** both those managed directly by the council and those indirect contracts managed through commissioned services.

Members will want assurances that their council and any strategic delivery partners that they have impact assessed their supply chain and that appropriate mitigation plans are in place in order to assure the council of their preparedness for any identified risk to the delivery of statutory services. Tested channels of communication should also be established with outsourced and commissioned services to ensure timely flow of information.

5. **Data handling** both in terms of the corporate ICT and data housing that the council uses for its own services, as well as the data handling for any outsourced services. Councils must make sure they are clear about where their data is held.

Members will want to ensure that their council have undertaken necessary assessments and that business continuity plans in place for all ICT and data handling that impacts the council. In the event that any of the council's data is hosted in the EU, the council will want to be assured that contingencies are in place considering the potential impact of a 'no deal' scenario hindering the flow of information across the EU border. The ICO have published guidance on this that councils should follow, and my officials will shortly be writing to your officers on this matter.

6. **Local partnership working** with key statutory and strategic partners, including the Health and Wellbeing Board, Crime Reduction or Community Safety Partnership, Local Economic Partnership and Local Resilience Forums.

As leaders of place, the local authority will want to ensure that all local partners and local partnerships are effectively planning and considering mitigations for EU Exit. Members will want to seek assurance that partnership plans have been agreed and tested; for example, in order to support and protect the most vulnerable and at risk and plan in relation to managing any increased community tensions or hate crime.

7. **Communications.** Appropriate plans and activity to provide community assurance and provision of timely information.

The UK's exit from the EU has created significant tensions as well as mis-information and/or expectations in communities. As the leader of place, members of the council may have an important role to play in providing:

- Timely updates for example in relation to promoting the UK Settled Status Scheme or advice to local businesses;
- Clarity of information to respond to any risks of potential heightened community tensions; and
- Community assurance as trusted leaders and sources of information and advice.

Members will therefore want to be assured that their council has prepared and tested communications channels with its ward councillors, statutory partners and all its community leaders/groups. Members will also want to be assured that the council is prepared for a potential impact on town halls and other community facing front of office desks, with increased community demand for information.

In addition, national government will be providing regular updates through a number of channels; including a series of new regional hubs led by a local authority chief executive from each of the regions across the country. Members should assure themselves that their chief executive is in contact with their regional colleagues who are leading these hubs, as these individuals will provide an opportunity to not only to provide Government updates, but also to escalate any concerns or developing issues back into Whitehall.



Ministry of Housing,  
Communities &  
Local Government

**Katherine Richardson**  
*Resilience and Emergencies Division.*

**Ministry of Housing, Communities and Local  
Government**  
2<sup>nd</sup> Floor, Fry Building  
2 Marsham Street  
London SW1P 4DF

Tel: 0303 444 2528  
Email: [Katherine.Richardson@communities.gov.uk](mailto:Katherine.Richardson@communities.gov.uk)

[www.gov.uk/mhclg](http://www.gov.uk/mhclg)

28 January 2019

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Dear LRF Chairs,

Firstly, thank you all for your ongoing work and engagement in the preparation of a no-deal EU exit scenario. The Government's top priority remains delivering a deal, however, it is essential that the Government and key partners continue to prepare for every eventuality. The work you continue to do is central to this.

Recognising the unique challenges associated with this planning the Secretary of State has today announced a range of support to local partners across the country. This included £1.75m of support for Local Resilience Forums.

Rather than administering this as a fund, which would add to your existing work and potentially delay the allocation of funding we will instead provide **£38,043.48** of funding to each LRF. Eight LRFs (Greater London, Greater Manchester, Hampshire and IoW, Humberside, Kent, Leicestershire, Suffolk and Sussex) will receive an additional **£38,043.47**, bringing the total funding for these LRFs to **£76,086.95**.

The funding should be used to directly support EU Exit planning and our expectation is that most LRFs will use this funding to support additional staffing costs. Our aim is to pay this funding in the week commencing Monday 4<sup>th</sup> February via a Section 31 grant to one of your constituent local authorities, who will be responsible for ensuring the funding is provided to the LRF. To facilitate this, we ask that you nominate one local authority by the end of Wednesday 30<sup>th</sup> January and email this to [REDEUTeam@communities.gov.uk](mailto:REDEUTeam@communities.gov.uk).

Yours faithfully,

**Katherine Richardson**  
Deputy Director  
Resilience and Emergencies Division  
Ministry of Housing, Communities and Local Government



**SURREY COUNTY COUNCIL**

**CABINET**

**DATE: 26 FEBRUARY 2019**



**REPORT OF: MR MEL FEW, CABINET MEMBER FOR FINANCE AND  
LEIGH WHITEHOUSE, EXECUTIVE DIRECTOR OF FINANCE**

**LEAD OFFICER: CHIEF EXECUTIVE AND EXECUTIVE DIRECTORS**

**COMMUNITY VISION  
OUTCOME: COUNCIL**

**SUBJECT: FINANCE AND BUDGET MONITORING REPORT TO  
31 DECEMBER 2018**

#### **SUMMARY OF ISSUE:**

This report summarises the most significant issues for the Council's 2018/19 financial position as at 31 December 2018 for both revenue and capital budgets. It has one annex, which provides further details on service budgets, expenditure to date and year-end forecast.

The Council's original 2018/19 budget, relied on significant use of one-off resources, including drawing £21m from reserves. Material additional pressures arising in 2018/19 and continuing funding uncertainties from 2019/20 onwards mean further use of reserves is not sustainable. In response, the Council set the £40m in year cost reduction programme, with two objectives:

- achieve in year cost reductions to prevent unplanned use of reserves; and
- avoid drawing down any of the planned £21m contribution from reserves this year to be in a more resilient position for 2019/20.

The main points of this report are as follows.

- Following the in-year cost reduction programme, the forecast use of reserves to support the budget will reduce to £4.6m.
- The forecast outturn is £16.7m underspent against the original budget.
- The forecast outturn has improved by £2.2m since last month, the main drivers are.
  - £1.8m improvement in Adult Social Care, mainly from the reduction to new and existing transition costs and a reduction in the costs of home based care, due to under usage against people's agreed support plans;

- £1.1m improvement in Property from reduced maintenance spending, reduced fees and print volumes and additional one off income;
  - £1.5m smaller improvements, mainly in Education, Lifelong Learning & Culture, Family Resilience, Highways & Transport and Orbis;
  - these gains are offset by an overall £2.1m increase in cost and reduced income across a number of service areas.
- Forecast capital spending reduced by £5.2m as outlined in paragraph 3.

#### **RECOMMENDATIONS:**

The cabinet is asked to note;

1. the Council's overall revenue and capital budget positions as at 31 December 2018:
  - £4.6m forecast total draw down reserves;
  - £16.7m forecast underspend against the original 2018/19 budget; and
  - £124m forecast service capital programme outturn against £132m budget.
2. all Cabinet Members have confirmed their service's forecast for the year as shown in the revenue table below.

#### **REASONS FOR RECOMMENDATIONS**

This report is presented to comply with the agreed policy of providing a monthly budget monitoring report to Cabinet for approval of any necessary actions.

## Revenue budget

1. Table 1 shows the latest forecast position for the year by service. Annex 1 provides more detail of service budget forecasts.

Table 1 Summary revenue budget variances as at 31 December 2018

Service	Gross budget £m	Net budget £m	Net forecast £m	Forecast variance £m	Last month variance £m
Delegated Schools	315.2	0.0	0.0	0.0	0.0
Education, Lifelong Learning & Culture	326.0	68.9	85.7	16.8	17.1
Safeguarding & Family Resilience	44.7	42.2	42.2	0.0	0.3
Corporate Parenting	114.9	100.9	99.8	-1.1	-1.4
Quality Assurance	6.6	5.5	6.0	0.5	0.4
Commissioning	12.4	11.2	11.6	0.4	0.3
<b>Children, Families, Learning &amp; Communities</b>	<b>819.9</b>	<b>228.7</b>	<b>245.3</b>	<b>16.6</b>	<b>16.8</b>
Adult Social Care	500.4	381.8	364.9	-16.9	-15.1
Public Health	36.7	0.0	-0.1	-0.1	-0.2
<b>Health, Wellbeing &amp; Adult Social Care</b>	<b>537.1</b>	<b>381.8</b>	<b>364.8</b>	<b>-17.0</b>	<b>-15.3</b>
<b>Economy, Growth &amp; Commercial</b>	<b>41.1</b>	<b>30.4</b>	<b>26.2</b>	<b>-4.2</b>	<b>-3.1</b>
Highways & Transport	79.7	67.1	64.3	-2.8	-2.4
Environment	73.5	69.2	68.7	-0.5	-0.4
Surrey Fire & Rescue Service	45.7	31.5	31.3	-0.2	-0.3
Communities	5.1	3.0	2.7	-0.4	-0.4
<b>Highways, Transport &amp; Environment</b>	<b>204.1</b>	<b>170.8</b>	<b>166.9</b>	<b>-3.9</b>	<b>-3.5</b>
Customer & Performance	7.4	7.0	6.5	-0.5	-0.6
Coroner	2.4	1.7	2.0	0.3	0.3
Orbis HR&OD, IT&D and Joint Operating Budget	52.5	52.0	47.6	-4.4	-3.8
<b>Customer, Digital &amp; Transformation</b>	<b>62.2</b>	<b>60.7</b>	<b>56.1</b>	<b>-4.6</b>	<b>-4.1</b>
<b>Finance</b>	<b>4.3</b>	<b>2.6</b>	<b>2.4</b>	<b>-0.2</b>	<b>-0.1</b>
<b>Central Income &amp; Expenditure</b>	<b>56.9</b>	<b>52.6</b>	<b>41.8</b>	<b>-10.8</b>	<b>-11.2</b>
<b>Total services' revenue expenditure</b>	<b>1,725.5</b>	<b>927.6</b>	<b>903.5</b>	<b>-24.1</b>	<b>-20.5</b>
<b>Total general funding</b>		<b>-906.3</b>	<b>-898.9</b>	<b>7.4</b>	<b>6.0</b>
<b>Total movement in reserves</b>		<b>21.3</b>	<b>4.6</b>	<b>-16.7</b>	<b>-14.5</b>

Note: All numbers have been rounded - which might cause a casting difference

## Capital programme

2. Table 2 shows directorates forecast £7.6m underspend against the £131.9m 2018/19 service capital programme budget. This is a £5.2m increase since last month, mainly due to:
- £1.2m reduction in Fire projects from: delays to vehicle and equipment projects;
  - £2.3m from reduced building maintenance and delays to several Property schemes;
  - £1.3m from delays to IT equipment purchases and network spend; and
  - £0.4m delays in School Basic Need schemes.
3. The Council has reduced the Fire capital budget by £2m to reflect reallocation of the Fire Transformation Grant the Council has held on behalf of partner fire authorities. Partners will now incur the expenditure individually to develop vehicle workshops. The Council will transfer the grant funding to each partner and the expenditure will no longer be part of the Surrey County Council capital programme.

Table 2 Summary capital programme budget variances as at 31 December 2018

	<b>Current full year budget</b>	<b>Apr – Dec actual</b>	<b>Jan – Mar forecast</b>	<b>Full year forecast</b>	<b>Full year variance</b>	<b>Last month variance</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>
Schools basic need	27.1	20.2	6.6	26.8	-0.4	0.0
Property Services	30.8	21.1	6.4	27.5	-3.3	-1.0
Highways & Transport	57.8	38.2	19.6	57.8	0.0	-0.3
Environment	2.2	1.0	0.8	1.9	-0.3	0.0
IT & Digital	4.5	0.6	1.8	2.4	-2.1	-0.8
Other capital projects	9.5	3.7	4.3	8.0	-1.5	-0.3
<b>Service capital programme</b>	<b>131.9</b>	<b>84.4</b>	<b>39.6</b>	<b>124.4</b>	<b>-7.6</b>	<b>-2.4</b>

Note: All numbers have been rounded - which might cause a casting difference

## Investment strategy

4. As part of increasing its overall financial resilience the Council has approved £106m net investment in long term income generating assets in 2018/19. The Council forecasts long term investment assets will provide £5m net revenue income in 2018/19.

## Earmarked reserves

5. Table 3 shows the Council's earmarked reserves and general balances as at 31 December 2018, including forecast closing balance at 31 March 2019 based on projected movements in 2018/19 and the need to support the 2018/19 budget.

Table 3: Earmarked revenue reserves as at 31 December 2018

	Closing balance 31 Mar 18 £m	Approved carry forwards 2018/19 £m	Use to support 2018/19 budget £m	Other projected movements to 31 Mar 19 £m	Projected closing balance 31 Mar 19 £m
Revolving Infrastructure & Investment Fund	11.1				11.1
Budget Equalisation Reserve	22.6	-1.3			21.3
Waste Sinking Fund	6.7			17.1	23.8
Insurance Reserve	9.1				9.1
Investment Renewals Reserve	5.0			-0.1	4.9
General Capital Reserve	4.8				4.8
Street lighting PFI Reserve	3.7			-0.6	3.1
Economic Downturn Reserve	9.2				9.2
Economic Prosperity Reserve	2.5		-1.0		1.5
Equipment Replacement Reserve	2.3			-0.5	1.8
Business Rate Appeals Reserve	3.6		-3.6		0.0
Interest Rate Reserve	1.0				1.0
<b>Total earmarked revenue reserves</b>	<b>81.6</b>	<b>-1.3</b>	<b>-4.6</b>	<b>15.9</b>	<b>91.6</b>
<b>General Fund Balance</b>	<b>21.3</b>				<b>21.3</b>

Note: All numbers have been rounded - which might cause a casting difference

## Debt

6. During the nine months to 31 December 2018, the Council raised invoices totalling £277.2m. As at 31 December 2018, the gross debt outstanding on these invoices was £57.9m. Table 4 shows the age profile of the debts. The overdue debt is the gross debt less those balances not immediately due (i.e. less than 30 days old). Over the quarter to 31 December 2018 overdue, unsecured debt fell by £0.8m, mainly due to £1.9m reduction in debt with other local authorities, schools and colleges, partly offset by a £1.0m rise in care debt.

Table 4: Age profile of the Council's debt as at 31 December 2018

Account group	<1 month £m	1-12 months £m	1-2 years £m	+2 years £m	Gross debt £m	Overdue debt £m
Care debt – unsecured	6.5	5.1	2.8	4.1	18.4	12.0
Care debt – secured	0.4	2.6	2.0	4.4	9.3	9.0
<b>Total care debt</b>	<b>6.8</b>	<b>7.7</b>	<b>4.8</b>	<b>8.5</b>	<b>27.8</b>	<b>21.0</b>
Schools, colleges and nurseries	1.1	0.0	0.0	0.0	1.1	0.0
Clinical commissioning groups	5.8	2.6	0.2	0.2	8.8	3.0
Other local authorities	13.1	0.2	0.0	0.0	13.2	0.2
General debt	4.8	1.5	0.4	0.3	7.0	2.2
<b>Total non-care debt</b>	<b>24.8</b>	<b>4.3</b>	<b>0.6</b>	<b>0.4</b>	<b>30.1</b>	<b>5.4</b>
<b>Total debt</b>	<b>31.6</b>	<b>12.0</b>	<b>5.4</b>	<b>8.9</b>	<b>57.9</b>	<b>26.3</b>

Note: All numbers have been rounded - which might cause a casting difference

## Treasury Management

### *Borrowing*

7. The Council borrows to finance its capital spending that exceeds receipts from: grants, third party contributions, capital receipts and reserves. The Council's long term debt stands at £397.2m, and has not increased this year.
8. As at 31 December 2018, the weighted average interest rate of the Council's long term debt portfolio is 4.1%. The Treasury Strategy, approved by County Council in February 2018, continued the policy of internal borrowing and where necessary, to borrow short term to meet cash flow liquidity requirements. Table 5 shows a net £102m increase in the Council's short term borrowing activity in 2018/19.

Table 5: Short term borrowing as at 31 December 2018

	<b>£m</b>
Debt outstanding as at 31 March 2018	193
Loans raised	640
Loans repaid	-538
<b>Current balance as at 31 December 2018</b>	<b>295</b>

Figures are for Surrey County Council only and do not include Surrey Police

9. The weighted average interest rate of the Council's short term external debt is 0.73% at 31 December 2018.

### *Authorised limit and operational boundary*

10. The prudential indicators control the Council's overall level of borrowing. They comprise the authorised limit and the operational boundary as outlined below.
  - The authorised limit is determined under the Local Government Act 2003, section 3(1). It reflects the level of borrowing which, while not sustainable, is affordable in the short term. It is the expected maximum borrowing needed with headroom for unexpected cash flow. For 2018/19 it is £1,643m, and peak borrowing was £710m.
  - The operational boundary is an indicator to ensure the authorised limit is not breached. It is the probable external debt during the year; it is not a limit and actual borrowing could vary around this boundary for short times during the year. For 2018/19 it is £1,059m, and peak borrowing was £710m.

### *Capital Financing Requirement*

11. The Capital Financing Requirement (CFR) represents the Council's underlying need to borrow for a capital purposes. The Council must ensure that, in any one year, net external borrowing does not, except in the short term, exceed its estimated CFR for the next three years. As at 31 December 2018, the Council has a net borrowing position of £693m (£710m total borrowing, less £17m cash deposits). The difference between net borrowing and the estimated CFR reflects the Council's strategy to maximise internal borrowing.

### *Maturity profile*

12. The Council sets limits for the maturity structure of borrowing in accordance with the Prudential Code. Table 6 shows the actual amounts as at 31 December 2018.

Table 6: Maturity structure of the Council's borrowing as at 31 December 2018

	Upper limit	Lower limit	Actual
Repayable in 1 year*	50%	0%	44.1%
Repayable in 1-2 years	50%	0%	0%
Repayable in 2-5 years	50%	0%	1.3%
Repayable in 5-10 years	75%	0%	0%
Repayable in 10-50 years	100%	25%	54.6%

### *Early debt repayment and rescheduling*

13. The Council has not made early repayments or rescheduled debt in 2018/19.

### *Investments*

14. The Council's average daily level of investments is £39m so far during 2018/19, compared to an average of £68.7m during 2017/18. This reflects the strategic policy to reduce cash held during the year by borrowing over shorter periods. The Council invests temporary cash surplus exclusively through the use of money market funds. Other investment facilities are available, including: brokers, direct dealing with counterparties through the use of call accounts or direct deal facilities, or with the government's Debt Management Office (DMO). No new fixed term deposits have been agreed during 2018/19 due to the low cash balances held and the need to maintain high liquidity.
15. Table 7 shows the weighted average return on all investments the Council received in the quarter to 31 December 2018 is 0.70%. This compares to the 0.49% average 7 day London Interbank Bid Rate (LIBID) for the same period.

Table 7: Weighted average return on investments compared to 7-day LIBID

	Average 7-day LIBID	Weighted return on investments
2018/19 quarter 3	0.49%	0.70%
2018/19 quarter 2	0.51%	0.58%
2018/19 quarter 1	0.36%	0.21%
2017/18 total	0.21%	0.22%
2016/17 total	0.20%	0.38%

Note: All numbers in all tables have been rounded - which may cause a casting difference.

### **CONSULTATION:**

16. All Cabinet Members have confirmed their service's forecast for the year as shown in the revenue table above.

### **RISK MANAGEMENT AND IMPLICATIONS:**

17. Risk implications are stated throughout the report and each relevant director or head of service has updated their strategic and or service risk registers accordingly. In addition, the leadership risk register continues to reflect the increasing uncertainty of

future funding likely to be allocated to the Council and the sustainability of the MTFP. In the light of the increased and significant financial risks faced by the Council, the Leadership Risk Register will be reviewed to increase confidence in directorate plans to mitigate the risks and issues.

#### **FINANCIAL AND VALUE FOR MONEY IMPLICATIONS**

18. The report considers financial and value for money implications throughout and future budget monitoring reports will continue this focus.

#### **SECTION 151 OFFICER COMMENTARY**

19. The Section 151 Officer confirms the financial information presented in this report is consistent with the Council's general accounting ledger and that forecasts have been based on reasonable assumptions, taking into account all material, financial and business issues and risks.
20. The Council has a duty to ensure its expenditure does not exceed resources available. During 2018/19, the Council plans to deliver £66m MTFP savings and to reduce spending by a further £40m as it moves towards a sustainable budget for future years. All services must continue to take all appropriate action to keep costs down and optimise income (e.g. through minimising spending, managing vacancies wherever possible). Adverse variances will require remedial in-year efficiencies and budget reductions.
21. It is drawn to members' attention that the Council's reserves are already at low levels bearing in mind the ongoing uncertainty about: future funding, demand pressures, savings and the transformation programme. For these reasons and to increase the Council's financial resilience, the Council needs to achieve all of its £66m MTFP savings and all of the £40m in year cost reductions Cabinet has approved. Unless the Council achieves these savings and cost reductions in 2018/19, it risks depleting reserves to unacceptable levels.

#### **LEGAL IMPLICATIONS – MONITORING OFFICER**

22. The Council is under a duty to set a balanced and sustainable budget. The Local Government Finance Act requires the Council to take steps to ensure that the Council's expenditure (that is expenditure incurred already in year and anticipated to be incurred) does not exceed the resources available whilst continuing to meet its statutory duties.
23. Cabinet should be aware that if the Section 151 Officer, at any time, is not satisfied that appropriate strategies and controls are in place to manage expenditure within the in-year budget they must formally draw this to the attention of the Cabinet and Council and they must take immediate steps to ensure a balanced in-year budget, whilst complying with its statutory and common law duties.

#### **EQUALITIES AND DIVERSITY**

24. Any impacts of the budget monitoring actions will be evaluated by the individual services as they implement the management actions necessary In implementing

individual management actions, the Council must comply with the Public Sector Equality Duty in section 149 of the Equality Act 2010 which requires it to have due regard to the need to eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act; advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

25. Services will continue to monitor the impact of these actions and will take appropriate action to mitigate additional negative impacts that may emerge as part of this ongoing analysis.

<b>WHAT HAPPENS NEXT:</b>
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26. The relevant adjustments from the recommendations will be made to the Council's accounts.

**Contact Officer:**

Leigh Whitehouse, Executive Director of Finance  
020 8541 7246

**Consulted:**

Cabinet, executive directors, heads of service.

**Annexes:**

Annex 1 – Forecast revenue budget as at 31 December 2018.

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## Forecast revenue budget as at 31 December 2018

	Gross budget	Net budget	YTD actual	Forecast position	Full year variance	Last month variance
	£m	£m	£m	£m	£m	£m
<b>Service</b>						
Delegated Schools	315.2	0.0	0.0	0.0	0.0	0.0
Education, Lifelong Learning & Culture	326.0	68.9	64.6	85.7	16.8	17.1
Safeguarding & Family Resilience	44.7	42.2	31.0	42.2	0.0	0.3
Corporate Parenting	114.9	100.9	74.9	99.8	-1.1	-1.4
Quality Assurance	6.6	5.5	4.5	6.0	0.5	0.4
Commissioning	12.4	11.2	8.5	11.6	0.4	0.3
<b>Children, Families, Learning &amp; Communities</b>	<b>819.9</b>	<b>228.7</b>	<b>183.4</b>	<b>245.3</b>	<b>16.6</b>	<b>16.8</b>
Adult Social Care	500.4	381.8	266.5	364.9	-16.9	-15.1
Public Health	36.7	0.0	0.0	-0.1	-0.1	-0.2
<b>Health, Wellbeing &amp; Adult Social Care</b>	<b>537.1</b>	<b>381.9</b>	<b>266.5</b>	<b>364.8</b>	<b>-17.0</b>	<b>-15.3</b>
Economic Growth	1.1	1.0	0.5	1.0	0.0	0.0
Property	31.1	21.6	12.0	17.5	-4.1	-3.0
Procurement	0.0	0.0	0.0	0.0	0.0	0.0
Business Operations	-0.1	-0.1	-0.1	-0.1	0.0	0.0
Legal Services	4.4	4.0	3.2	4.2	0.2	0.2
Democratic Services	4.6	3.9	2.6	3.6	-0.3	-0.3
<b>Economy, Growth &amp; Commercial</b>	<b>41.1</b>	<b>30.4</b>	<b>18.2</b>	<b>26.2</b>	<b>-4.2</b>	<b>-3.1</b>
Highways & Transport	79.7	67.1	45.8	64.3	-2.8	-2.4
Environment	73.5	69.2	39.6	68.7	-0.5	-0.4
Surrey Fire & Rescue Service	45.7	31.5	23.5	31.3	-0.2	-0.3
Trading Standards	3.9	1.8	1.2	1.7	-0.1	-0.1
Communities Support function	0.7	0.7	0.3	0.5	-0.2	-0.2
Emergency Management	0.5	0.5	0.3	0.4	-0.1	-0.1
<b>Highways, Transport &amp; Environment</b>	<b>204.1</b>	<b>170.8</b>	<b>110.8</b>	<b>166.9</b>	<b>-3.9</b>	<b>-3.5</b>
Strategic Leadership	0.8	0.8	0.7	1.0	0.2	0.2
Communications	1.7	1.7	1.2	1.6	-0.1	-0.2
Strategy & Performance	1.4	1.2	0.7	0.9	-0.3	-0.3
Customer Services	3.4	3.3	2.3	3.0	-0.3	-0.3
Coroner	2.4	1.7	1.6	2.0	0.3	0.3
Human Resources & Organisational Development	3.9	3.9	1.9	3.1	-0.8	-0.8
Information Technology & Digital	13.0	12.4	7.5	10.7	-1.7	-1.6
Joint Operating Budget ORBIS	35.6	35.6	25.7	33.8	-1.8	-1.4
<b>Customer, Digital &amp; Transformation</b>	<b>62.2</b>	<b>60.7</b>	<b>41.7</b>	<b>56.1</b>	<b>-4.6</b>	<b>-4.1</b>
<b>Finance</b>	<b>4.3</b>	<b>2.6</b>	<b>1.8</b>	<b>2.4</b>	<b>-0.2</b>	<b>-0.1</b>
<b>Central Income &amp; Expenditure</b>	<b>56.9</b>	<b>52.6</b>	<b>36.3</b>	<b>41.8</b>	<b>-10.8</b>	<b>-11.2</b>
<b>Total services' revenue expenditure</b>	<b>1725.3</b>	<b>927.6</b>	<b>658.7</b>	<b>903.5</b>	<b>-24.1</b>	<b>-20.5</b>
General funding sources						
Capital receipts		-15.0	0.0	-8.2	6.8	5.5
General Government grants		-58.7	-22.7	-58.1	0.6	0.5
Local taxation (council tax & business rates)		-832.6	-607.1	-832.6	0.0	0.0
<b>Total general funding</b>		<b>-906.3</b>	<b>-629.8</b>	<b>-898.9</b>	<b>7.4</b>	<b>6.0</b>
<b>Total movement in reserves</b>		<b>21.3</b>	<b>28.9</b>	<b>4.6</b>	<b>-16.7</b>	<b>-14.5</b>

Note: All numbers have been rounded - which might cause a casting difference

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