

## Cabinet

**Thursday, 24 June 2021, 10.00 am, County Hall**

**Membership:** Cllr Alan Amos, Cllr Marc Bayliss, Cllr Matt Dormer, Cllr Simon Geraghty (Chairman), Cllr Adrian Hardman (Vice Chairman), Cllr Marcus Hart, Cllr Adam Kent, Cllr Karen May, Cllr Tony Miller and Cllr Andy Roberts

## Agenda

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All the above reports and supporting information can be accessed via the Council's website.

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# Project Screening

## Impact Assessment Id: #204

### 1. Your Details

**Name of person completing screening assessment**

Laura Folkers

**Job Title**

Business Manager - Resources

**Directorate**

Worcestershire Children First

**Service Area**

Resources

**Email Address**

LFolkers1@worcschildrenfirst.org.uk

**Connection to project (e.g. project manager)**

Business Support

### 2. Project Summary

For the purposes of the impact assessment screening, we will refer to the activity or area being assessed as a project.

**Project Name**

Children's Homes and Semi-Independent Accommodation

**Name of Project Sponsor**

Tina Russell

**Name of Project Manager**

Adam Johnston

**Name of Project Lead**

Adam Johnston

**Project Reference (if known)****Please give a brief description of the project**

Review of Children's Homes Use and Semi-Independent Accommodation - Sufficiency

### 3. Data Protection

We need to establish if the proposal involves processing personal data. Personal data is information that relates to an identified or identifiable individual.

**Name of Information Asset Owner**

Senior officer responsible for the project's information assets

Tina Russell

Does the project, any project work stream or project outcome involve any personal data? Some examples of personal data are given below. Yes

**Appearance:**

photograph, physical description

**Basic Identifiers:**

name, date of birth, age, biometric data, ethnic origin, gender, genetic data, race, sex

**Contact Details:**

address, email address, home phone number, mobile phone number, postcode

**ID Number:**

National Insurance Number, driving licence number, NHS number, online identifier, other general identifier

**Employment:**

work related training/awards

**Financial:**

income/financial/tax situation

**Lifestyle:**

health or social care, living habits, marital status, philosophical beliefs, political opinions, religion, sex life, trade union membership

**Technology:**

login/username, device MAC address (wireless network interface), device IMEI number, IP Address, location data (travel/GDPS/GSM data), website cookies

**Does the project, any project work stream or project outcome involve:**

**Evaluating or scoring individuals (including profiling and predicting)? No**

e.g. building behavioural or marketing profiles of individuals based on their web activity

**Profiling, automated decision-making or special category data to help make decisions on access to a service, opportunity or benefit, or otherwise have a significant effect on an individual? No**

e.g. asking an individual to submit personal data that is then analysed by a computer system, with the result that the individual's request to use a service is either accepted or refused.

**Systematic monitoring? No**

e.g. installing a CCTV or ANPR system on council premises, or any covert surveillance including anything under RIPA.

**Processing of 'special category' personal data (or 'sensitive personal data')? Yes**

e.g. processing health or social care data.

**Processing personal data on a large scale? No**

e.g. implementing a new social care record system.

**Datasets that involve combining, comparing, or matching data from multiple sources? No**

e.g. matching or merging service users' personal data against or with personal data held by a third party (e.g. the NHS).

**The personal data of vulnerable people? Yes**

e.g. processing children's personal data or social service client's data.

**The use or application of innovative technological or organisational solutions? No**

e.g. using fingerprint recognition technology to control access to a building.

**The transfer of personal data outside of the European Union? No**

e.g. storing personal data in a cloud service hosted in the US or using a third party that uses technology hosted in the US.

**Preventing individuals from exercising a right or using a service or contract? No**

e.g. screening applicants before allowing them to use a web service.

**Processing personal data that could result in a risk of physical harm in the event of a security breach? Yes**

**The use of third parties? No**

e.g. as a service provider or hosted service

**Processing children's data for profiling, automated decision-making, any marketing purposes, or to offer any online services directly to them? No**

e.g. apps designed for use by children

## 4. Equality

**We need to determine whether the project could affect residents and/or Council staff because they share any of the Protected Characteristics defined in the Equality Act 2010 namely Age, Disability, Gender Reassignment, Marriage/Civil Partnership, Pregnancy, Race, Religion/Belief, Sex and Sexual Orientation.**

**Does the project relate to an area where data/research indicates that inequalities are already known to exist? Yes**

**Could this project have any effect on, service delivery or usage, other aspects of daily life or community participation levels for people because they belong to any of the groups below?**

**Age Yes**

e.g. a person belonging to a particular age group (for example 18 – 30-year olds).

**Disability Yes**

e.g. A person has a disability if she or he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

**Gender Re-Assignment No**

e.g. The process of transitioning from one gender to another.

**Marriage/Civil Partnership Status No**

e.g. Marriage is a union between a man and a woman or between a same-sex couple. Same-sex couples can also have their relationships legally recognised as 'civil partnerships'. Civil partners must not be treated less favourably than married couples (except where permitted by the Equality Act).

**Pregnancy/Maternity No**

e.g. Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.

**Race No**

e.g. Refers to the protected characteristic of race. It refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

**Religion or Belief No**

e.g. Religion refers to any religion, including a lack of religion. Belief refers to any religious or philosophical belief and includes a lack of belief. Generally, a belief should affect your life choices or the way you live for it to be included in the definition.

**Sex No**

**Sexual Orientation No**

e.g. Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.

**Health Inequalities Yes**

e.g. Any preventable, unfair & unjust differences in health status between groups, populations or individuals that arise from the unequal distribution of social, environmental & economic conditions within societies.

## 5. Public Health

We also want to understand if the project will have any impacts on public health.

The social, economic, cultural and physical environment in which people live their lives has a significant effect on their health and wellbeing. Although genetics and personal behaviour play a strong part in determining an individual's health, good health starts where we live, where we work and learn, and where we play.

Improving public health requires taking a broader view of the conditions that create health and wellbeing, from how we plan and develop our urban spaces and places, to the opportunities for employment, recreation, and social connection available to all who live in them.

Health inequalities are the preventable, unfair and unjust differences in health status between groups, populations or individuals that arise from the unequal distribution of social, environmental and economic conditions within societies, which determine the risk of people getting ill, their ability to prevent sickness, or opportunities to take action and access treatment when ill health occurs.

### Could the project have an impact on any of the following factors?

#### **Social and Economic Yes**

e.g. culture, social support (neighbourliness, social networks/isolation), spiritual participation, employment opportunities.

#### **Physical Health No**

e.g. physical activity is expected to increase, influenza vaccination uptake increase

#### **Mental Health & Wellbeing Yes**

e.g. benefits to children's mental health, benefits to adult carer wellbeing.

#### **Access to Services Yes**

e.g. access to (location/disabled access/costs) and quality of primary/community/secondary health care, child care, social services, housing/leisure/social security services; public transport, policing, other health relevant public services, non-statutory agencies and services.

## 5. Environmental Sustainability

We want to understand if the project activity and project outcomes will have an impact on environmental sustainability. Please be mindful that the Council has committed to reduce its emissions to net-zero by 2050 and most projects are likely to have an impact on this target. This should be a key consideration in your project delivery and should be reviewed when completing these screening documents.

### Could this project have an impact on the categories listed below?

**Greenhouse Gas (GHG) Emissions (including CO2) No**

e.g. increased GHG emissions as a result of project implementation, which may also be linked with efficient use of resources in WCC buildings; transport; emissions from waste; and procurement.

**Efficient Use of Resources No**

e.g. consumption of energy resources, water, electricity, gas and heating fuels.

**Transport No**

e.g. number of people travelling, alternative transport modes.

**Waste No**

e.g. increase in waste generated or an increase in waste recycling.

**Wildlife and Biodiversity No**

e.g. impacts on the natural environment or enhancements to the natural environment.

N.B. This refers to any direct or indirect modifications to landholdings, including but not limited to removal of vegetation, alteration or demolition of buildings or modification of watercourses or lighting (not limited to just green space/trees).

**Pollution to Land or Water No**

e.g. risk of pollution to the local environment.

**Pollution to Air No**

e.g. risk of pollution to air, activity which may adversely affect air quality or increase emissions to air

**Resilience to climate change No**

e.g. risks of extreme weather and climate impacts on the project.

**Historic Environment No**

e.g. impacts on Historic Environment or enhancements of the Historic Environment.

**Procurement No**

e.g. could procurement associated with the project result in an increase of natural resources (such as long-distance shipping of goods); could use be made of local resources or work forces to support delivery of the project.

**As you answered 'No' to all the questions, please explain your reasoning below:**

change of use of buildings would not alter environmental factors

## 7. Results of Screening

<b>Data Protection</b>	Will require a full impact assessment
<b>Equality and Public Health</b>	Will require a full impact assessment
<b>Environmental Sustainability</b>	Does not need a full impact assessment

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## Equality and Public Health Full Impact Assessment

### Impact Assessment Id: #204

#### 1.0 Screening Information

**Project Name**

Children's Homes and Semi-Independent Accommodation

**Name of Project Sponsor**

Tina Russell

**Name of Project Manager**

Adam Johnston

**Name of Project Lead**

Adam Johnston

**Please give a brief description of the project**

Review of Children's Homes Use and Semi-Independent Accommodation - Sufficiency

**Data Protection screening result**

Will require a full impact assessment

**Equality and Public Health screening result**

Will require a full impact assessment

**Environmental Sustainability screening result**

Does not need a full impact assessment

#### 1.1 Background and Purpose

**Background and Purpose of Project?**

To support your answer to this question, you can upload a copy of the project's Business Case or similar document.

To consult and review the use of children's residential homes and supported board and lodgings to support recommendations to Cabinet.

**Upload Business Case or Support documents**

No files uploaded

**Project Outputs**

Briefly summarise the activities needed to achieve the project outcomes.

Consultation on Proposals

Approval by Cabinet

Change of use and closure of some provision

Arrangements for children and young people and staffing due to service change

**Project Outcomes**

Briefly summarise what the project will achieve.

Appropriate residential provision for the future needs of vulnerable children, young people and care leavers in accordance with WCF Sufficiency Strategy

**Is the project a new function/service or does it relate to an existing Council function/service?**

Existing

**Was consultation carried out on this project?**

Yes

## 1.2 Responsibility

### Directorate/Organisation

Worcestershire Children First

### Service Area

Throughcare and Sufficiency

## 1.3 Specifics

### Project Reference (if known)

Not Recorded

### Intended Project Close Date \*

December 2021

## 1.4 Project Part of a Strategic Programme

### Is this project part of a strategic programme?

Yes

### An overarching screening has already been carried out for the following areas:

Not recorded

### Upload previous impact assessment documents if available

No files uploaded

## 2 Organisations Involved

Please identify the organisation(s) involved:

Worcestershire County Council

Other - Worcestershire Children First

Details of contributors to this assessment:

<b>Name</b>	Adam Johnston
<b>Job title</b>	Assistant Director, WCF
<b>Email address</b>	ajohnston@worcschildrenfirst.org.uk

## 3.0 Who will be affected by the development and implementation

Please identify group(s) involved:

Service User

Carers

Staff

Communities

### 3.1 Information and evidence reviewed

#### What information and evidence have you reviewed to help inform this assessment? \*

Intelligence from Sufficiency Strategy and other national sources referenced in accompanying June 2021 Cabinet Paper

### 3.2 Summary of engagement or consultation undertaken

#### Who and how have you engaged, or why do you believe engagement is not required? \*

Previous engagement and consultation with children, young people, parents and carers. Following national guidance, regulatory requirements and analysis of intelligence

### 3.3 Summary of relevant findings

#### Please summarise your relevant findings. \*

Current and predicted sufficiency needs outlines the requirement for additional edge of care support (from proven impact) as well as required review of quality and appropriateness of provision following temporary closure of some residential settings.

## 4 Protected characteristics - Equality

Please consider the potential impact of this activity (during development & implementation) on each of the equality groups outlined below. **Please select one or more impact box(es) below for each equality group and explain your rationale.** Please note it is possible for the potential impact to be both positive and negative for the same equality group and this should be recorded. Remember to consider the impact on e.g. staff, public, patients, carers etc. who are part of these equality groups.

#### Age

Potential positive impact selected.

#### Explanation of your reasoning:

Recognising the need of children in WCF care and care leavers under our statutory duties and promoting future outcomes.

#### Disability

Potential positive impact selected.

#### Explanation of your reasoning:

Proposed permanent closure of one home has potential to be an asset within the WCC All Age Disability service development

#### Gender reassignment

Potential neutral impact selected

#### Explanation of your reasoning:

Neither positive or negative impact as protective characteristics not identifiable or applicable to the consultation purpose

#### Marriage and civil partnerships

Potential neutral impact selected.

#### Explanation of your reasoning:

Neither positive or negative impact as protective characteristics not identifiable or applicable to the consultation purpose

#### Pregnancy and maternity

Potential neutral impact selected.

#### Explanation of your reasoning:

Neither positive or negative impact as protective characteristics not identifiable or applicable to the consultation purpose

**Race including travelling communities**

Potential neutral impact selected.

**Explanation of your reasoning:**

**Neither positive or negative impact as protective characteristics not identifiable or applicable to the consultation purpose**

**Religion and belief**

Potential neutral impact selected.

**Explanation of your reasoning:**

Neither positive or negative impact as protective characteristics not identifiable or applicable to the consultation purpose

**Sex**

Potential neutral impact selected.

**Explanation of your reasoning:**

Neither positive or negative impact as protective characteristics not identifiable or applicable to the consultation purpose

**Sexual orientation**

Potential neutral impact selected.

**Explanation of your reasoning:**

Neither positive or negative impact as protective characteristics not identifiable or applicable to the consultation purpose

## 5 Characteristics - Public health

### Other vulnerable and disadvantaged groups

Potential positive impact selected.

#### Explanation of your reasoning:

Additional supported board and lodgings for care leavers and support before independent living

### Health inequalities

Potential positive impact selected.

#### Explanation of your reasoning:

Provision review for most vulnerable children in our care

### Social and economic

Potential positive impact selected.

#### Explanation of your reasoning:

Residential support for more independent living along side other young people in the community

### Physical health

Potential neutral impact selected.

#### Explanation of your reasoning:

N/A

### Mental health and wellbeing

Potential positive impact selected.

#### Explanation of your reasoning:

Stability of placement with quality assurance

### Access to services

Potential positive impact selected.

#### Explanation of your reasoning:

Supported living arrangements providing additional guidance

## 6 Actions to mitigate potential negative impacts

You have confirmed that there are no negative impacts for equality protected characteristics and public health characteristics.

## 7 When will you review this equality and public health estimate(EPHIA)?

Continually in the process of implementing change

## 8 Declaration

The following statement has been read and agreed:

- All public bodies have a statutory duty under the Equality Act 2010 to set out arrangements to assess and consult on how their policies and functions impact on the 9 protected characteristics: Age; Disability; Gender Reassignment; Marriage & Civil Partnership; Pregnancy & Maternity; Race; Religion & Belief; Sex; Sexual Orientation
- Our Organisation will challenge discrimination, promote equality, respect human rights, and aims to design and implement services, policies and measures that meet the diverse needs of our service, and population, ensuring that none are placed at a disadvantage over others
- All staff are expected to deliver and provide services and care in a manner which respects the individuality of service users, patients, carers etc, and as such treat them and members of the workforce respectfully, paying due regard to the 9 protected characteristics

I confirm to the best of my knowledge that the information I have provided is true, complete and accurate

I confirm that I will make sure that Equality and Public Health have been and continue to be considered throughout the project life cycle and that, if circumstances change in the project, a further Equality and Public Health Impact Assessment Screening will be carried out.

## Data Protection Full Assessment

### Impact Assessment Id: #204

### 1.0 Screening Information

**Project Name**

Children's Homes and Semi-Independent Accommodation

**Name of Project Sponsor**

Tina Russell

**Name of Project Manager**

Adam Johnston

**Name of Project Lead**

Adam Johnston

**Please give a brief description of the project**

Review of Children's Homes Use and Semi-Independent Accommodation - Sufficiency

**Data Protection screening result**

Will require a full impact assessment

**Equality and Public Health screening result**

Will require a full impact assessment

**Environmental Sustainability screening result**

Does not need a full impact assessment

### 1.1 Background and Purpose

**Background and Purpose of Project?**

To support your answer to this question, you can upload a copy of the project's Business Case or similar document. To consult and review the use of children's residential homes and supported board and lodgings to support recommendations to Cabinet.

**Upload Business Case or Support documents**

No files uploaded

**Project Outputs**

Briefly summarise the activities needed to achieve the project outcomes.

Consultation on Proposals

Approval by Cabinet

Change of use and closure of some provision

Arrangements for children and young people and staffing due to service change

**Project Outcomes**

Briefly summarise what the project will achieve.

Appropriate residential provision for the future needs of vulnerable children, young people and care leavers in accordance with WCF Sufficiency Strategy

**Is the project a new function/service or does it relate to an existing Council function/service?**

Existing

**Was consultation carried out on this project?**

Yes

## 1.2 Responsibility

### Directorate/Organisation

Worcestershire Children First

### Service Area

Throughcare and Sufficiency

## 1.4 Specifics

### Project Reference (if known)

Not Recorded

### Intended Project Close Date \*

December 2021

## 1.5 Project Part of a Strategic Programme

### Is this project part of a strategic programme?

Yes

### An overarching screening has already been carried out for the following areas:

Not recorded

### Upload previous impact assessment documents if available

No files uploaded

## 2.0 Personal Data

### Who are you processing data about?

Customers, clients or service users

Carers or representatives

### What personal data will be collected? \*

The second stage is to list all of the types of personal data that you believe the project/works/additional processing will utilise.

Please select yes for as many examples of types of data that are relevant and include any others in the free text at the bottom of the page.

#### Basic Identifiers:

##### Name

Yes

##### Date of Birth

Yes

##### Age

Yes

##### Gender

No

##### Sex

No

#### Contact Details:

**Address**

Yes

**Email Address**

Yes

**Home Phone Number**

No

**Mobile Phone Number**

Yes

**Postcode**

Yes

**ID Number:**

**National Insurance Number**

No

**Driving Licence/Number**

No

**NHS Number**

No

**Other General Identifier**

No

**Employment:**

**Work Related Training/Awards**

No

**Financial:**

**Income/Financial/Tax Situation**

No

**Appearance:**

**Photograph**

No

**Physical Description**

No

**Lifestyle:**

**Living Habits**

Yes

**Marital Status**

No

**Technology:**

**Login/Username**

No

**Device MAC Address (Wireless Network Interface)**

No

**Device Mobile Phone/Device IMEI No**

No

**Location Data (Travel/GDPS/GSM Data)**

No

**Online Identifier e.g. IP Address**

No

**Website Cookies**

No

**Other Data Types Collected**

Looked After Child (current / past) or Care Leaver status

**2.1 Legal basis for Personal Data**

**What is your lawful basis for processing the personal data? \***

Please choose one of the following

Data Subject's consent for the purpose

No

Necessary for a contract with the Data Subject

No

Necessary to comply with a legal obligation

Yes

Necessary to protect the vital interests of an individual(s)

No

Necessary for a task in the public interest or exercise of official authority of Controller

Yes

Necessary for legitimate interests of Controller unless interests are overridden by the interests or rights of the individual (only available in limited circumstances to public bodies)

No

## 2.2 Special Data

### What special category personal data (if any) will be collected? \*

This section will not apply to all projects and should only be completed if it applies to you.

It is important that you read this section carefully, as these data types require additional care and protection.

If you do pick anything from this list, you will be required to give more details in Section 4 of this form.

You can read more about Special Category Data through this link;

<https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/special-category-data/>

#### Race

No

#### Ethnic origin

No

#### Political opinions

No

#### Religion

No

#### Philosophical beliefs

No

#### Trade union membership

No

#### Genetic Data

No

#### Biometric Data

No

#### Sex life

No

#### Health or social care

Yes

## 2.3 Legal basis for Special Data

### What is the relevant condition for processing the special category personal data? \*

You must qualify under one of the below exemptions as well as having a legal basis from the previous question.

#### Explicit Consent

The data subject has given explicit consent to the processing of those personal data for one or more specified purposes, except where Union or Member State law provide that the prohibition referred to in paragraph 1 may not be lifted by the data subject;

Yes

#### Employment and Social Security

Processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject;

Yes

#### Vital Interests

Processing is necessary to protect the vital interests of the data subject or of another natural person where the data subject is physically or legally incapable of giving consent;

Yes

#### Legitimate Interests of:

**"a foundation, association or any other not-for-profit body with a political, philosophical, religious or trade union aim".**

Processing is carried out in the course of its legitimate activities with appropriate safeguards by a foundation, association or any other not-for-profit body with a political, philosophical, religious or trade union aim and on condition that the processing relates solely to the members or to former members of the body or to persons who have regular contact with it in connection with its purposes and that the personal data are not disclosed outside that body without the consent of the data subjects;

**Note – this is not often applicable to local authorities.**

No

**Publicly Available Data**

Processing relates to personal data which are manifestly made public by the data subject;

No

**Legal or Court Proceedings**

Processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity;

No

**Public Interest - Statutory Necessity**

Processing is necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject;

Yes

**Medical, Health and Social Care Provision**

Processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional and subject to the conditions and safeguards referred to in paragraph 3;

Yes

**Public Health**

Processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices, on the basis of Union or Member State law which provides for suitable and specific measures to safeguard the rights and freedoms of the data subject, in particular professional secrecy;

No

**Archiving or Scientific, Historical or Statistical Research Purposes**

Processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.

No

**2.4**

**Information Involved**

Understanding the information flows involved in a project is essential to a proper assessment of privacy risks.

**How will the data be collected? \***

This section should be filled in for every project, not just those collecting Special Category data.

unsure

**What will the data be used for? \***

This section should be filled in for every project, not just those collecting Special Category data.

consultation on closure / change of use of residential children's home and supported board and lodgings

**Has data already been collected?**

Yes

**Are the purposes for which you are collecting the data different? \***

If the data you are hoping to use was not collected specifically for this project, please explain in the box below why it was collected. This will include data that you have collected from other teams within WCC.

Statutory duties for children in need of protection and those Looked After

### **Explain why existing and/or less intrusive processes or measures would be inadequate \***

In this section, you should explain why your new method/project is absolutely necessary and show that you have thought about all other options.

To understand the experiences and potential impact on those children and young people specifically, who currently / who have previously accessed residential services to inform consultation exercise and outcome of proposal.

## **3.0 Other organisations**

### **Are other organisations involved in processing the data?**

No

## **3.1 Storage detail**

### **How will the information be stored? \***

Please include details of whether data will be stored outside of the European Economic Area (EEA).

Please remember that cloud storage and back up servers maybe outside the EEA.

Client's social care record held in Liquidlogic

Records of Residential Homes on network U:drive

### **For how long will the data be retained? \***

The data will be retained inline with the categories in the Council's disposal schedule

### **What is the deletion process? \***

For Liquidlogic held data the retention module will be run when the independent enquiry into IICSA has completed.

Network drive deletion process is manual.

## **4 Consultation details**

**Consultation can be used at any stage of the DPIA process and is important to allow people to highlight privacy risks and solutions based on their own area of interest or expertise.**

**For further assistance and information please visit the [consultation toolkit section on Ourspace](#).**

### **Explain what practical steps you are going to take to ensure that you identify and address privacy risks \***

Identifying a targeted group of children, young people and their parents/carers. Ensuring data is captured and collected security, outlining the purpose of the information.

Risk assessment if required

### **Who should be consulted, internally and externally? Do you need to seek the views of members of the public? \***

As accordance with the requirements of children's home consultation / closures

### **How will you carry out the consultation? \***

(You should link this to the relevant stages of your project management process)

unknown

## **5 Risk register**

**At this stage you should identify the possible privacy risks together with their likelihood, severity and overall level, and for high risks the measures taken to reduce the risk.**

Add any risk to the relevant sections below.

## Fair and Lawful Processing

Data must be processed lawfully, fairly and in a transparent manner.

Please also consider

- Have you identified at least one lawful basis for the personal data processed as part of the project?
- Does at least one Controller involved have a lawful power to act?
- Do you need to create or amend a privacy notice?
- How is your processing going to be transparent?

### Risk that processing is not transparent, and individuals are unaware that data is being collected or why it is processed

#### Unmitigated Risk

Likelihood - Likely

Severity - Some Impact

Score - High

#### Mitigation/Solution

Provide Data Processing Notice with consultation activities

#### Mitigated Risk

Likelihood - Unlikely

Severity - Minimal Impact

Score - Low

#### Result

Accepted

### Risk that information is being processed unlawfully

#### Unmitigated Risk

Likelihood - Unlikely

Severity - Some Impact

Score - Low

#### Mitigation/Solution

Following corporate procedures and protocols of WCF and WCC

#### Mitigated Risk

Likelihood - Unlikely

Severity - Some Impact

Score - Low

#### Result

Accepted

## Specific, explicit and legitimate purposes

The purpose for which you process personal data must be specified, explicit and legitimate. Personal data collected must not be processed in a manner that is incompatible with the purpose for which it was originally collected.

Please also consider

- Does your project plan cover all of the purposes for processing personal data? If not your plan needs amending accordingly.
- Are all elements of the processing compatible with the original reason and justification for the processing?
- What are these specific, explicit and legitimate purposes?

### Risk of 'mission creep' and information is used for different, or incompatible purposes to that identified when originally collected

No Risk

## Adequate, relevant and not excessive

Personal data processed must be adequate, relevant and not excessive in relation to the purpose for which it is processed.

Please also consider

- Is the quality of the information adequate for the purposes it is used?
- If not, how is this to be addressed?
- Are measures in place to ensure that data is limited to that which is needed to fulfill the aim of the processing?

- Which personal data elements do not need to be included without compromising the needs of the project?

#### Risk of loss of control over the use of personal data

No Risk

#### Risk that inadequate data quality means the information is not fit for the identified purpose(s) potentially leading to inaccurate decision making

##### Unmitigated Risk

Likelihood - Unlikely

Severity - Some Impact

Score - Low

##### Mitigation/Solution

triangulation of other data and proportionate evaluation of responses

##### Mitigated Risk

Likelihood - Unlikely

Severity - Some Impact

Score - Low

##### Result

Accepted

#### Risk that any new surveillance methods may be an unjustified intrusion on individuals' privacy

No Risk

### Accurate and timely

Personal data processed must be accurate and, where necessary, kept up to date, and every reasonable step must be taken to ensure that personal data that is inaccurate is erased or rectified without delay.

Please also consider

- If you are procuring new software does it allow you to amend data when necessary?
- How are you ensuring that personal data obtained from individuals or other organisations is accurate?
- Do you have processes in place to keep data up to date?
- If any data sets are to be merged, what checks are carried out to ensure that the right data records are matched/merged together?

#### Any data matching or linking, including whole data sets may link wrong records together

No Risk

### Storage limitation

Personal data must be kept for no longer than is necessary for the purpose for which it is processed. Appropriate time limits must be established for the periodic review of the need for the continued storage of personal data.

Please also consider

- What are the risks associated with how long data is retained and how they might be mitigated?
- Has a review, retention and disposal (RRD) policy been established?
- How does the software enable you to easily act on retention criteria – does it enable bulk review/destruction; set review periods; extract for long-term preservation/retention of the corporate memory?

#### Risk information is retained for the wrong length of time (both too long and too short)

No Risk

#### Risk information is not securely destroyed when its retention period has been reached

No Risk

### Security

Personal data must be processed in a manner that ensures appropriate security of the personal data, using appropriate technical or organisational measures (and, in this principle, "appropriate security" includes protection against unauthorised or unlawful processing and against accidental loss, destruction or damage).

Please also consider

- What technical and organisational measures are in place to ensure that the data is protected to an adequate level?
- What training on data protection and/or information sharing has been undertaken by relevant staff?

- What access controls are in place to enforce the 'need to know' principle?
- What assurance frameworks are utilised to assess adequacy of security measures in place e.g. NHS DSPT; Cyber Essentials Plus; PSN Certification?

**Risk of loss of confidentiality**

**Unmitigated Risk**  
 Likelihood - Unlikely  
 Severity - Serious Impact  
 Score - Medium

**Mitigation/Solution**  
 confidentiality and recording of data in line with secure data systems and processes.

**Mitigated Risk**  
 Likelihood - Unlikely  
 Severity - Serious Impact  
 Score - Medium

**Result**  
 Accepted

**Risk of inadequate security controls in place to protect and secure personal data, including inappropriate access**

**Unmitigated Risk**  
 Likelihood - Unlikely  
 Severity - Serious Impact  
 Score - Medium

**Mitigation/Solution**  
 standard corporate security controls in place with WCF and WCC processes

**Mitigated Risk**  
 Likelihood - Unlikely  
 Severity - Serious Impact  
 Score - Medium

**Result**  
 Accepted

**Risk that workers processing the data are not aware of their data responsibilities**

No Risk

**Risk that information is distributed using inappropriate methods**

No Risk

**Risk of re-identification of pseudonymized or anonymised data (e.g. collecting matching and linking identifiers and information may result in information that is no longer safely anonymised)**

No Risk

**Risk that information is transferred to a 'third country' without adequate safeguards**

No Risk

**Financial and reputational**

**Risk of identity theft or fraud**

No Risk

**Risk of financial loss for individuals or other third parties**

No Risk

**Risk of financial loss for the Council (including ICO fines)**

No Risk

**Risk of reputational damage to the Council, partners, and processors**

No Risk

## Health, safety and wellbeing

### Risk of physical harm to individuals

#### Unmitigated Risk

Likelihood - Unlikely  
Severity - Some Impact  
Score - Low

#### Mitigation/Solution

statutory responsibilities still remain for children / young people in WCF care

#### Mitigated Risk

Likelihood - Unlikely  
Severity - Some Impact  
Score - Low

#### Result

Accepted

### Risk of physical harm to staff and workers

No Risk

### Risk of discrimination

No Risk

### Risk of other significant economic or social disadvantage

No Risk

## Individuals Rights

Data protection legislation gives data subjects' various rights (listed below). Limiting or restricting any of these rights is likely to be a significant impact so the justification for any restriction, as well as mitigations, must be fully outlined.

### Inability to meet individuals' right to be informed

#### Unmitigated Risk

Likelihood - Unlikely  
Severity - Some Impact  
Score - Low

#### Mitigation/Solution

ensuring those who need to be informed will be involved in the consultation process and be advised of how data will be used

#### Mitigated Risk

Likelihood - Unlikely  
Severity - Some Impact  
Score - Low

#### Result

Accepted

### Inability to meet individuals' right of access

#### Unmitigated Risk

Likelihood - Unlikely  
Severity - Some Impact  
Score - Low

#### Mitigation/Solution

Identification of those individuals to be included in consultation

#### Mitigated Risk

Likelihood - Unlikely  
Severity - Some Impact  
Score - Low

#### Result

Accepted

### Inability to meet individuals' right to rectify inaccurate data

No Risk

**Inability to meet individuals' right to restrict processing**

No Risk

**Inability to meet individuals' right to object**

No Risk

**Inability to meet individuals' rights relating to automated decision making and profiling**

No Risk

**Additional project specific risks**

No additional risks recorded

**6 Declaration**

I confirm to the best of my knowledge that the information I have provided is true, complete and accurate \*  
Selected

I confirm that I will make sure that data protection has been and continues to be considered throughout the project life cycle and should circumstances change in the project to include any processing of personal data a further Data Protection Impact Assessment Screening will be carried out \*  
Selected

# Project Screening

## Impact Assessment Id: #203

### 1. Your Details

**Name of person completing screening assessment**

Emily Barker

**Job Title**

Planning Services Manager

**Directorate**

Economy & Infrastructure

**Service Area**

Planning and Transport Planning

**Email Address**

EBarker@worcestershire.gov.uk

**Connection to project (e.g. project manager)**

Project Sponsor

### 2. Project Summary

For the purposes of the impact assessment screening, we will refer to the activity or area being assessed as a project.

**Project Name**

Blakedown Rail Station car parking

**Name of Project Sponsor**

Emily Barker

**Name of Project Manager**

Slc Rail

**Name of Project Lead**

Rachel Jarret (slc Rail)

**Project Reference (if known)****Please give a brief description of the project**

Provision of additional car parking at Blakedown Rail Station

### 3. Data Protection

**We need to establish if the proposal involves processing personal data. Personal data is information that relates to an identified or identifiable individual.**

**Name of Information Asset Owner**

**Rachel Hill**

Senior officer responsible for the project's information assets

**Does the project, any project work stream or project outcome involve any personal data? Some examples of personal data are given below.** **No**

**Appearance:**

photograph, physical description

**Basic Identifiers:**

name, date of birth, age, biometric data, ethnic origin, gender, genetic data, race, sex

**Contact Details:**

address, email address, home phone number, mobile phone number, postcode

**ID Number:**

National Insurance Number, driving licence number, NHS number, online identifier, other general identifier

**Employment:**

work related training/awards

**Financial:**

income/financial/tax situation

**Lifestyle:**

health or social care, living habits, marital status, philosophical beliefs, political opinions, religion, sex life, trade union membership

**Technology:**

login/username, device MAC address (wireless network interface), device IMEI number, IP Address, location data (travel/GDPS/GSM data), website cookies

**As you answered 'No' , please explain your reasoning below:**

The project is an infrastructure project for the design and construction of station car parking.

## 4. Equality

**We need to determine whether the project could affect residents and/or Council staff because they share any of the Protected Characteristics defined in the Equality Act 2010 namely Age, Disability, Gender Reassignment, Marriage/Civil Partnership, Pregnancy, Race, Religion/Belief, Sex and Sexual Orientation.**

**Does the project relate to an area where data/research indicates that inequalities are already known to exist? No**

**Could this project have any effect on, service delivery or usage, other aspects of daily life or community participation levels for people because they belong to any of the groups below?**

**Age No**

e.g. a person belonging to a particular age group (for example 18 – 30-year olds).

**Disability Yes**

e.g. A person has a disability if she or he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

**Gender Re-Assignment No**

e.g. The process of transitioning from one gender to another.

**Marriage/Civil Partnership Status No**

e.g. Marriage is a union between a man and a woman or between a same-sex couple. Same-sex couples can also have their relationships legally recognised as 'civil partnerships'. Civil partners must not be treated less favourably than married couples (except where permitted by the Equality Act).

**Pregnancy/Maternity No**

e.g. Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.

**Race No**

e.g. Refers to the protected characteristic of race. It refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

**Religion or Belief No**

e.g. Religion refers to any religion, including a lack of religion. Belief refers to any religious or philosophical belief and includes a lack of belief. Generally, a belief should affect your life choices or the way you live for it to be included in the definition.

**Sex No**

**Sexual Orientation No**

e.g. Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.

**Health Inequalities No**

e.g. Any preventable, unfair & unjust differences in health status between groups, populations or individuals that arise from the unequal distribution of social, environmental & economic conditions within societies.

## 5. Public Health

We also want to understand if the project will have any impacts on public health.

The social, economic, cultural and physical environment in which people live their lives has a significant effect on their health and wellbeing. Although genetics and personal behaviour play a strong part in determining an individual's health, good health starts where we live, where we work and learn, and where we play.

Improving public health requires taking a broader view of the conditions that create health and wellbeing, from how we plan and develop our urban spaces and places, to the opportunities for employment, recreation, and social connection available to all who live in them.

Health inequalities are the preventable, unfair and unjust differences in health status between groups, populations or individuals that arise from the unequal distribution of social, environmental and economic conditions within societies, which determine the risk of people getting ill, their ability to prevent sickness, or opportunities to take action and access treatment when ill health occurs.

### Could the project have an impact on any of the following factors?

#### **Social and Economic No**

e.g. culture, social support (neighbourliness, social networks/isolation), spiritual participation, employment opportunities.

#### **Physical Health No**

e.g. physical activity is expected to increase, influenza vaccination uptake increase

#### **Mental Health & Wellbeing No**

e.g. benefits to children's mental health, benefits to adult carer wellbeing.

#### **Access to Services Yes**

e.g. access to (location/disabled access/costs) and quality of primary/community/secondary health care, child care, social services, housing/leisure/social security services; public transport, policing, other health relevant public services, non-statutory agencies and services.

## 5. Environmental Sustainability

We want to understand if the project activity and project outcomes will have an impact on environmental sustainability. Please be mindful that the Council has committed to reduce its emissions to net-zero by 2050 and most projects are likely to have an impact on this target. This should be a key consideration in your project delivery and should be reviewed when completing these screening documents.

### Could this project have an impact on the categories listed below?

**Greenhouse Gas (GHG) Emissions (including CO2) No**

e.g. increased GHG emissions as a result of project implementation, which may also be linked with efficient use of resources in WCC buildings; transport; emissions from waste; and procurement.

**Efficient Use of Resources No**

e.g. consumption of energy resources, water, electricity, gas and heating fuels.

**Transport Yes**

e.g. number of people travelling, alternative transport modes.

**Waste No**

e.g. increase in waste generated or an increase in waste recycling.

**Wildlife and Biodiversity Yes**

e.g. impacts on the natural environment or enhancements to the natural environment.

N.B. This refers to any direct or indirect modifications to landholdings, including but not limited to removal of vegetation, alteration or demolition of buildings or modification of watercourses or lighting (not limited to just green space/trees).

**Pollution to Land or Water No**

e.g. risk of pollution to the local environment.

**Pollution to Air No**

e.g. risk of pollution to air, activity which may adversely affect air quality or increase emissions to air

**Resilience to climate change Yes**

e.g. risks of extreme weather and climate impacts on the project.

**Historic Environment No**

e.g. impacts on Historic Environment or enhancements of the Historic Environment.

**Procurement No**

e.g. could procurement associated with the project result in an increase of natural resources (such as long-distance shipping of goods); could use be made of local resources or work forces to support delivery of the project.

## 7. Results of Screening

<b>Data Protection</b>	Does not need a full impact assessment
<b>Equality and Public Health</b>	Will require a full impact assessment
<b>Environmental Sustainability</b>	Will require a full impact assessment

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**2020 /**

**2021**

**Annual Financial Report  
and Statement of  
Accounts**

**EXTRACT**

**Worcestershire County Council**

## Leader's Introduction

The 2020/21 financial year was an exceptional year, and we could not have achieved everything we have without the support and help from our partners and staff. Across the county we came together as One Worcestershire to respond to the challenges of the national pandemic and I would like to thank all of our partners and our communities for their enormous effort.

As a County Council we have spent £88 million on that response and recovery, that has seen us:

- oversee the establishment and staffing of 7 test centres, providing 27,000 community Lateral Flow Tests in year, and ensured over 600,000 tests in schools and over 1,000 for local businesses
- provide £14.8 million to our care providers to help them protect residents and staff
- deliver nearly 3,500 food parcels through our Here2Help Services, with over 5,200 requests for help answered

### COVID-19: Five steps to look after yourself and others



Get all the latest updates at:  
[www.worcestershire.gov.uk/here2help](http://www.worcestershire.gov.uk/here2help)

HERE 2 HELP WORCESTERSHIRE

worcestershire  
county council

- issue over two million PPE items to staff and partners
- provide £3 million to businesses to enable them to start to recover
- provide £250,000 to fund laptops to schools and poorer families
- provide over 2,600 offers of support to those clinically extremely vulnerable in our communities



- enable social workers to move to seven day working to aid hospital discharge
- support our local bus operators to maintain services to the public and schools
- set aside £0.8 million to help those residents in financial hardship pay their council tax
- work with our districts to protect rough sleepers, providing £0.7 million to provide additional accommodation
- services such as our libraries see a 90% increase in digital issues / lending.

The pandemic is of course on-going, and whilst we are currently seeing fantastic rates of vaccination in the County and falling cases, we will continue to manage and respond to the pandemic for a while yet. We are also turning our attention to the short-term recovery and longer-term legacy impact that may follow and there is no doubt this will continue to be a significant challenge for us during 2021/22 and beyond.

Alongside dealing with COVID-19, our councillors and staff worked tirelessly to deliver a full complement of services and improve our County. We maintained strong financial control ending the year returning a £0.783 million underspend, that is within 0.2% of our budget. Some notable successes included:

- Securing £12 million Getting Building Fund to boost our local economy.
- The opening the improved Kidderminster station in June 2020, and the purchase of land at Shrub Hill to develop the area and rail network.
- Significant progress on the Worcester Southern Link Road, A38 around Bromsgrove, Pershore Northern Link Road as well as several Town Centre improvements including Stourport and Kidderminster.
- 97% of premises now have access to 24 Mbps+ Superfast Broadband following our improvement programme, that has proved invaluable during COVID, and we have secured £2.5 million of Rural Gigabit vouchers to improve this further.
- Carried out over 200 kilometres of highway schemes and 70 kilometres footway schemes
- Working with our District Council partners on their Future High Streets Fund and Town Fund plans

- Despite significant increased demand 97% of Children’s social work assessments were completed within time meaning Worcestershire has maintained its position as the top performing local authority in the region, with the highest number of court cases being complete in timescales.
- Worcestershire Children First were also ranked the best employer in the region by the Local Government Association when measured against social work standards.

The Council has also committed to reducing its own operational greenhouse gases, and actions saw a 40% reduction in 2020/21. Our improvement in street lighting meant our energy fell by 7.6%. The Council’s Diamond Leaf project, to plant 150,000 trees in partnership with the Woodland Trust was accepted as one of the Queen’s Platinum anniversary celebrations.



All this success is an amazing achievement and I would like to thank all councillors, staff and partners for that achievement and their tireless work over the last 12 months.

Looking forward to 2021/22, under our newly returned Administration we will be continuing our Covid-19 response & recovery and later in the year formulating a new Corporate Plan for 2022-2027 supported by a revised medium-term financial plan which will continue to put at the heart the need to focus on a strong local economic recovery, support vulnerable adults and children and help our residents and service users to return to a normal way of life.

**Simon Geraghty**  
**Leader of Worcestershire**  
**County Council**



## Chief Executive's Introduction

My third year as Chief Executive brought an unprecedented year in all our lives. We have seen our staff change how and where they work from, with teams working long hours to ensure we have been able to effectively respond to the pandemic. I would therefore like to start by thanking all staff who have worked tirelessly throughout 2020/21 under difficult circumstances, making a real difference to people's lives. Our Public Health team lead by our Director of Public Health, Kath Cobain have been at the forefront of our efforts to protect the health of the Worcestershire population.



Dr Kathryn Cobain,  
Director of Public Health

The Leader's Foreword covers many of the outputs for our residents and businesses, behind that our teams have ensured that ongoing services could be delivered working mainly from home. We saw a significant investment in IT through improvements in our broadband, servers and software including a full rollout of Windows10, Office 365 and a new social work case management system, that enabled us to do this with very little disruption to our performance. Our IT team have done an amazing job in getting us to this position and we are seeing that they are being recognised nationally for their excellent work.

We saw the majority of our buildings closed during lockdown with income lost in services such as libraries and museums. Thankfully

Government did provide additional funding that has enabled us to deliver our budget. However, we also saw savings arising from our new ways of working, in particular a £0.8 million reduction, or c250,000 miles, in our travel and carbon footprint.

Going forward our main tasks are to focus on Covid recovery and work smarter. We have already started to deliver recovery plans with significant effort going in to supporting the economy, health and partners through grants and support. In reality this is likely to continue for some time and it is vital therefore that we address the ways we work and we maintain an agile and healthy workforce. As such we are investing in smarter ways of working that will enable our staff to work from where it is best to deliver our business and meet the needs of our residents. That could mean great use of video conferencing and our website, both have been tremendously effective during Covid, in particular Here2Help.



Whilst it may have felt that 2020/21 was all about Covid there was also a lot going on and I am equally proud of the staff for the excellent delivery of services whilst managing dealing with the pandemic.

Our Economy & Infrastructure teams have continued to work through flooding and heatwaves to ensure the highways network remains one of the best maintained in the Country. This year has seen more work completed expanding both our key routes such as the Southern Link Road but also cycling and walk ways such as Sabrina Bridge.

Our Adult's services successfully rolled out its Community Reablement Service and Home First across the whole County, ensuring people are able to be supported to live longer and well in their own homes. Something again that supported how well we have responded to COVID-19.

We also invested over £5.5 million in preventative programmes in 2020/21 through additional business rates. Scheme such as Housing First, Dementia Centres and Ticket to Ride have started to be piloted across the County with our partners to assess how they could reduce future pressure on children and adult's social care. The relationships and processes developed through this programme of change were also invaluable in reacting quickly when the pandemic started.

Worcestershire Children First successfully completed their first full financial year with a £0.6 million surplus. Having managed a significant increase in demand for support and protection the service has continued to meet all its contractual performance targets, as well as insourcing school improvement and SEND support services.



The One Worcestershire brand has been used across the County, providing a coherent brand for key messages and communications. This will form a strong bedrock going forward and support our local economy as we seek to attract jobs and tourism.



During 2020/21 we also made a number of changes to the way we run our back offices with the insourcing of a number of functions including Property and Facilities Management, and financial transactions. Having greater control of these services in the coming years will help us deliver changes and savings.

Looking forward we have a strong financial base going into 2021/22 with a balanced budget and we will now start to refresh our corporate plan to deal with what the future brings.

**Paul Robinson**  
**Chief Executive**



## Chief Financial Officer's Narrative Report

Worcestershire is a county with a proud heritage. Home to over half a million people; with a mix of urban and rural communities and a thriving economy.

In a year of significant and unprecedented challenges for the residents and businesses of Worcestershire, the Council has played a vital role in managing the health and economic effects of both the COVID-19 pandemic and resulting national lockdowns; providing additional services and financial support to help the community and those in need.

Despite these additional challenges in 2020/21, the County Council achieved a small underspend of £0.8 million against its £346.2 million budget.

Through robust financial monitoring and prompt management action to allocate resources, we have ensured that additional costs and loss of income arising from the impact of the COVID-19 pandemic have not had an adverse impact on the outturn position at 31 March 2021. The outturn position by directorate is given below:

Service area	Budget £m	Outturn £m	Variance £m
People – Adults	130.863	130.261	(0.602)
People – Communities	19.008	18.444	(0.564)
People – Public Health	1.762	1.833	0.071
Children’s Services/WCF	101.540	101.427	(0.113)
Economy & Infrastructure	55.924	55.913	(0.011)
Commercial & Change	6.954	6.309	(0.645)
Chief Executive/HR	1.005	0.475	(0.530)
<b>Sub Total: Services</b>	<b>317.056</b>	<b>314.662</b>	<b>(2.364)</b>
Non-Assigned	(1.692)	(1.762)	(0.070)
Finance /Corporate Items	30.887	32.568	1.681
<b>Total</b>	<b>346.251</b>	<b>345.468</b>	<b>(0.783)</b>

School Balances overall increased by £2.5 million during the year to a net surplus of £3.9 million. This net position comprises 32 schools in deficit (£10.2 million) and 91 schools in surplus (£14.1 million). School’s funding therefore remains an area of concern and the Council and Worcestershire Children First are working to support schools in achieving their financial plans as well as lobbying Central Government. The non-schools Dedicated Schools Grant (DSG) will carry forward a deficit of £6.5 million (£6.2 million deficit at 31 March 2020) and this will be carried forward and offset against future DSG income.

## COVID-19 Pandemic

The Council received additional funding of £87.7 million from Central Government to support the residents and businesses of Worcestershire during 2020/21 with £74.0 million of these funds spent to provide vital and urgent aid across the county. Committed funds of £13.7 million have been carried forward to 2021/22 to cover ongoing response and recovery operations.

To support vulnerable individuals in Worcestershire through the pandemic, the Council established the Here2Help Community Action Scheme which delivered a range of support to more than 3,500 individuals: supplying emergency food parcels, medication collection and assistance with essential shopping. Here2Help will continue to develop its offering in 2021/22 working with the voluntary sector, partner organisations and residents and communities.

The Council's commitment to its role in fighting the virus saw the establishment of 6 testing sites and 5 dedicated vaccination centres across the county; performing 499,297 rapid lateral flow tests and administering 323,204 first doses of the vaccine in the period to the end of March 2021. We provided support to Worcestershire's schools during the pandemic; distributing laptops and electronic devices, providing free school meals and we ensured the safety of our staff and communities through the delivery of over 2 million items of personal protective equipment (PPE).

To assist local businesses in their response, we launched the Here2Help Business Programme to provide grant funding and business advice to support local businesses to recover, adapt, develop and ensure future resilience as lockdown measures continue to ease.

To relieve the financial pressure faced by individuals and businesses, the Council suspended its debt collection activity for 3 months during the initial lockdown period, with a resulting increase in our overall debt position. In response, we have increased our bad debt provision by £2.8 million and will continue to review this in 2021/22.

This reflects a change in activity in response to local needs and it is expected that an improvement in performance will be reported in 2021/22 once planned activity resumes. As part of our Finance Improvement Programme, the centralisation of income management and debt collection procedures will ensure that progress continues in 2021/22.

We have taken appropriate measures to ensure that valuations of our assets and investments are robust, noting that they remain subject to a degree of uncertainty as the economy recovers and stabilises following the pandemic. This equally will apply to our Pension fund investments.

Looking forward, there continues to be uncertainty regarding the scale and extent of the pandemic and its impact upon the demand for our services, particularly in social care, our income and funding levels and additional cost pressures as we continue to respond and recover.

The Council has adopted a prudent approach to the management of reserve balances. We will review our medium-term financial plan, taking account of the need to support the most vulnerable individuals in society by identifying savings and reductions in spend and increasing income to improve outcomes for the residents and businesses of Worcestershire. To meet the challenges facing the county, it is imperative that we continue to put effective financial governance and competence at the core of decision making to deliver a strong, resilient and sustainable financial position.

Finance staff continue to work closely with our service partner Liberata and our external auditors Grant Thornton to ensure an efficient close-down process and produce the statutory accounts within statutory deadlines, and I express my thanks for their hard work.

Further in-depth highlights of the 2020/21 Statement of Accounts are contained in the Finance and Performance Review section below.



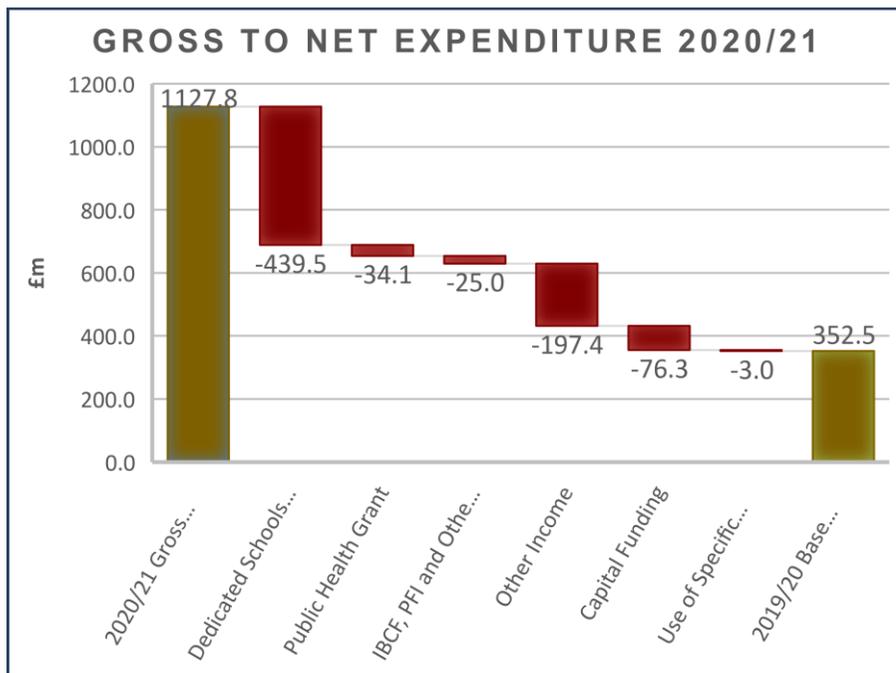
**Michael Hudson LLB (Hons), LLM, CPFA**

Chief Financial Officer

## Finance and Performance Review

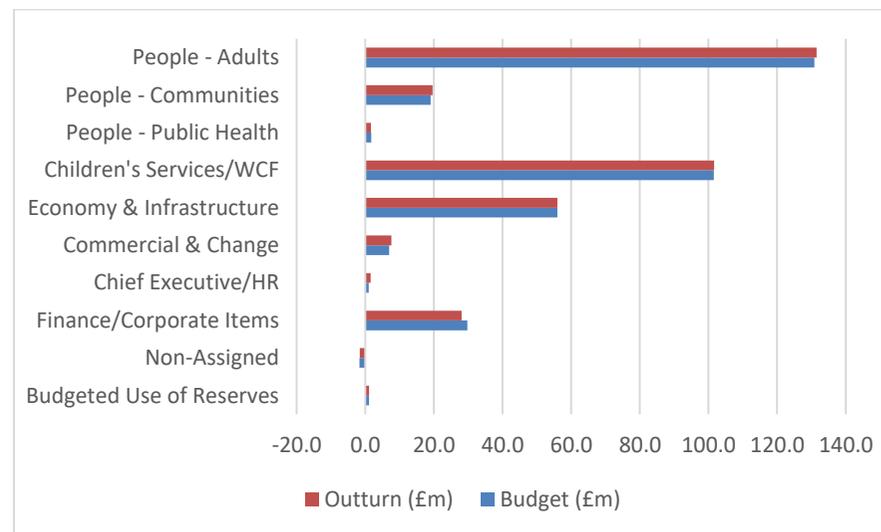
### 2020/21 Financial performance

The County Council net budget for 2020/21 was £346.251 million. The breakdown of gross to net expenditure is shown in the graph below:



In line with budget monitoring throughout the year the County Council underspent it's £346.2 million budget by £0.8 million (0.2%) in 2020/21, with pressures in People and Children's Services largely offset by underspends in Economy and Infrastructure and Commercial and Change Services and

optimising use of COVID-19 grant funding received during the year. The graph below gives details of the outturn position by directorate.



Significant management action has been undertaken in year to maintain services whilst responding to the national pandemic, which included manage cost pressures and variations in demand. The key financial and performance for each directorate is drawn out in the following paragraphs.

### People Services - Adults

As reported and forecast during 2020/21 the Adult Social Care service delivered a small underspend of £0.6 million against its £130.9 million budget. This underspend has been achieved through the efficient use of COVID grants including infection

control, sales fees and charges and the general COVID grant, claims from the CCG hospital discharge grant and a reduction in client numbers in the year as a result of COVID.

### **People Services – Communities**

The Communities budget returned a £0.6 million underspend largely as a result of reduced spend in library services and the application of grant income to fund staff redeployed to activities linked to COVID recovery.

### **Children’s Services**

The Council’s Children’s Services budget achieved a small underspend of £0.1 million for 2020/21.

Children’s social care placements demand and costs continued to increase in 2020/21, resulting in an overspend of £3.2 million largely attributable to increases in both the number of placements and their costs during the year. This was offset by favourable variances in safeguarding services and staffing underspends.

The increasing cost of high needs provision has placed significant pressure on the Dedicated School’s Grant (DSG) funding as well as the Council. The overall DSG deficit at 31 March 2021 is £6.5 million and this will be carried forward against future DSG income. The Council continues to work with schools to optimise pressures within funding, whilst lobbying Central Government for the issue to be addressed nationally.

### **Economy and Infrastructure**

The directorate has delivered a small underspend of £0.01 million on its £55.9 million budget after COVID adjustments. The most

significant variances from budget include overspends in Planning and Regulation and Operations and Highways budgets, offset by underspends in Transport due to reduced patronage and additional income from streetworks and permits.

### **Commercial and Change**

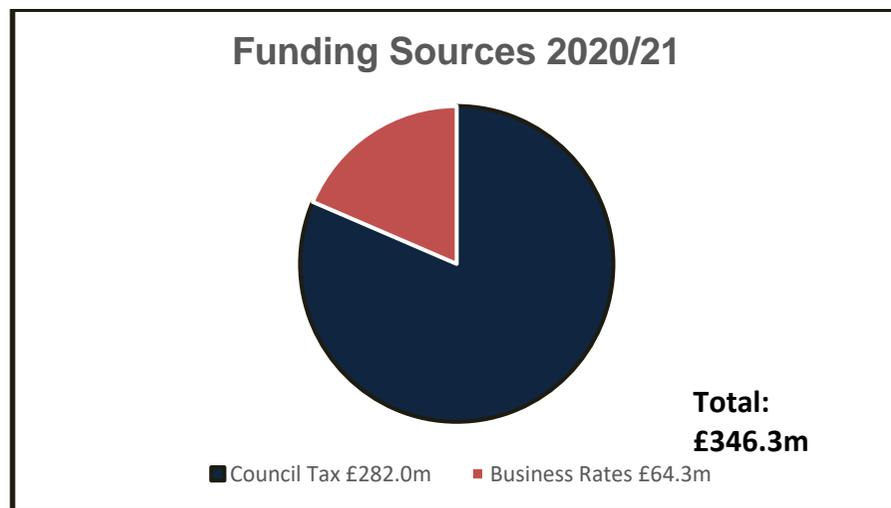
The directorate has delivered an underspend of £0.6 million (9% of its budget) as a result of reduced contract expenditure and underspend on additional works for administrative buildings.

### **Finance, HR & Chief Executive**

Finance and Corporate budgets achieved a total underspend of £9 million mainly as a result of reduced borrowing costs following the deferral of borrowing due to COVID and the prudent management of cash balances, withholding expenditure from the Council’s contingency budget, and reduced employer’s pension costs. This has enabled the Council to increase contributions to Earmarked Reserves for Education & High Needs and Waste PFI Contract obligations.

## Funding sources

The Council's core revenue expenditure was funded by a combination of locally raised funds and resource allocated from central government.



The Council Tax Band D equivalent was set at £1,311.05, which includes £116.04 relating to the ring-fenced Adult Social Care precept.

Services also receive funding from specific grants, contributions and fees and charges. Key grants are the Improved Better Care Fund, Public Health Ring-fenced Grant and Dedicated Schools Grant. The terms and conditions of these grants vary, and the funding may be non-recurrent.

## Impact on the Council's Assets and Liabilities

The value of our property plant and equipment has increased by a net £18.0 million in 2020/21. We have disposed of £16.9 million of assets, including 5 schools which have converted to academy status during 2020/21 resulting in a £8.6 million reduction to the Council's assets at nil consideration.

We secured £3.3 million of capital receipts which have helped us manage our borrowing requirement and fund transformation. At the same time, we are reporting a further £5.7 million of assets held for sale.

The County Council's pensions liabilities have increased by £219.2 million. Of this, £217.6 million relates to an actuarial loss from changes in financial assumptions surrounding discount rates and CPI inflation; in line with actuarial assumptions.

The suspension of debt collection activity for 3 months during the initial lockdown period resulted in an increase in our overall debt position. Progress is underway, as part of our Finance Improvement Programme, to improve our income management and debt collection processes and we continue to work with our strategic partners, with support from colleagues in legal services, to facilitate the efficient resolution of queries in respect of debts that are over 30 days old. We report collection rates and progress on a quarterly basis to the Audit and Governance Committee. In response to changes in the aged profile of debtor balances at 31 March 2021, we have increased our impairment allowance by £2.8 million: comprising trade debtors by £1.6 million with a further £1.2 million increase in respect of Adult Social Care debt. The County Council has considered the impact of the COVID-19

pandemic upon the recoverability of debtor balances at 31 March 2021 and has applied a professional judgement to reflect the additional risk.

Whilst performance in respect of our time to pay creditors continues to be high (98% of all creditors paid within 30 days), we continue to review creditor payment terms to secure savings where we can negotiate reduced costs. Overall the increase of our trade creditors at 31 March 2021 by £17.9 million is mainly related to the timing of payments at the year end.

Our earmarked and other usable reserves have increased over the year by £57.3 million to £201.7 million. This reflects the financial position of the County Council in the year, with directorates drawing down amounts put by in previous years to support service delivery offset by corporate savings through lower Minimum Revenue Provision costs allowing savings to be added to the Financial Risk Reserve. Further detail is given below.

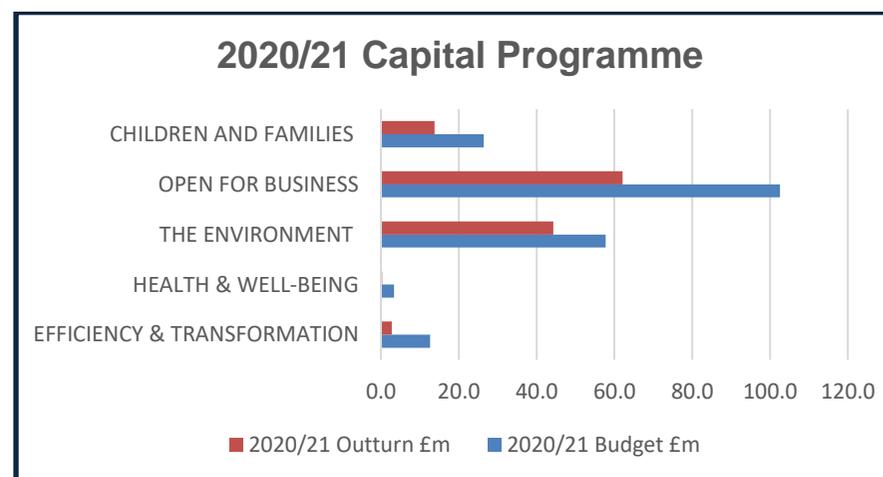
### Financial risks and our reserves

Over recent years, our trend for underlying cost pressures and extensive use of specific grants and other reserves has significantly reduced our earmarked reserves although that trend is reversing. Our General Fund Reserve balance at 31 March 2021 increased by £0.8 million to £13.0 million. Looking forward, the total resources available are £114.7 million, as noted in the table below:

	Balance at 31 March 2020	Transfers out	Transfers in	Balance at 31 March 2021
	£m	£m	£m	£m
Directorate Reserves	28.1	-4.0	23.8	47.9
Grant Reserves	10.9	-0.2	6.6	17.3
Corporate Funding/Insurance	32.6	-27.1	26.2	31.7
Schools Reserves	1.4	-1.4	4.0	4.0
Dedicated School Grant	-6.2	0.0	6.2	0.0
PFI Reserves	9.5	-0.5	4.8	13.8
<b>Total</b>	<b>76.3</b>	<b>-33.2</b>	<b>71.6</b>	<b>114.7</b>

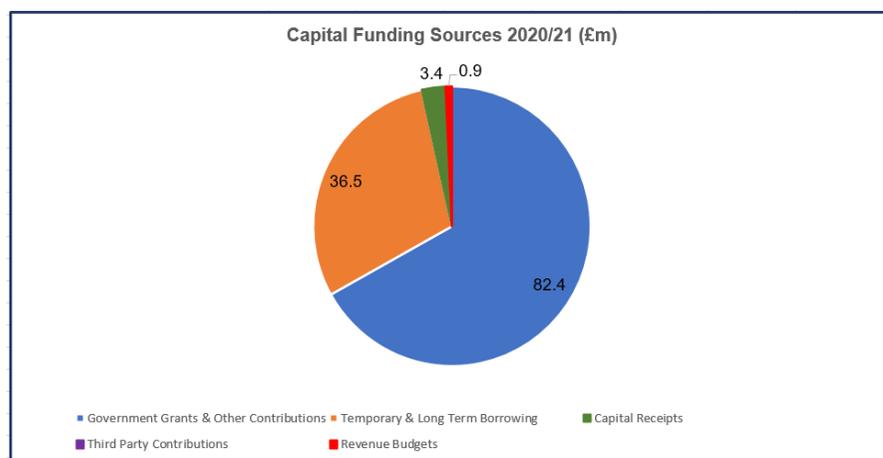
### Capital Programme

The capital programme for 2020/21 to 2022/23 and beyond totals £287.9 million, with £77.1 million in 2021/22. Expenditure is most significant in the Economy & Infrastructure Directorate which includes infrastructure support for Open for Business priorities.



The more significant schemes include walking and cycling initiatives and road resurfacing works across the whole County area, and specific improvements around A38 Bromsgrove, Pershore northern access, Worcester Shrub Hill and Kidderminster station improvements and Holyoakes Field First School Redditch relocation.

Funding for capital schemes comes mainly from government grants, usually for specific developments, and borrowing, as shown below:



### Impact on Treasury Management and cash flow

Our short-term borrowing has increased by £30.8 million and our long-term borrowing has increased by £21.7 million. This reflects our strategy of reprofiling our borrowing. All of our Treasury Management activities are reported separately and regularly to Cabinet and Council. All transactions have been completed in accordance with our Treasury Management Strategy for the year.

## Delivering the Corporate Plan

The Council's 2017-22 Corporate Plan – Shaping Worcestershire's Future, sets a clear vision and four distinct priorities for the organisation and wider partnership to focus on delivering. This is set out alongside a revised way of working, moving towards financial self-sufficiency and encouraging those individuals, families and communities who can do more for themselves, enabling limited resources to be targeted on protecting the most vulnerable in society. Regular public engagement has consistently highlighted the following important aspects to consider when allocating resources:

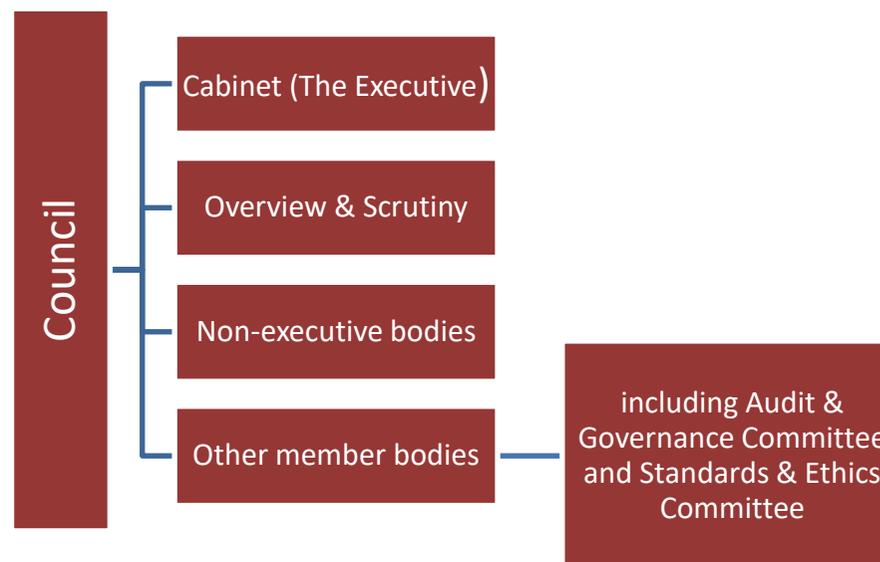
- Safeguarding vulnerable young people, particularly those in or leaving care to ensure they are safe and can make the most of the opportunities they have
- Protecting vulnerable older people, particularly those with physical, learning and mental health difficulties
- Maintenance of the highway.

### Political structure

The County Council is run by 57 elected Councillors who are responsible for making sure that the services we provide meet the needs of residents and those who work in the county. They do this by setting the overall policies and strategies for the County Council and by monitoring the way in which these are implemented.

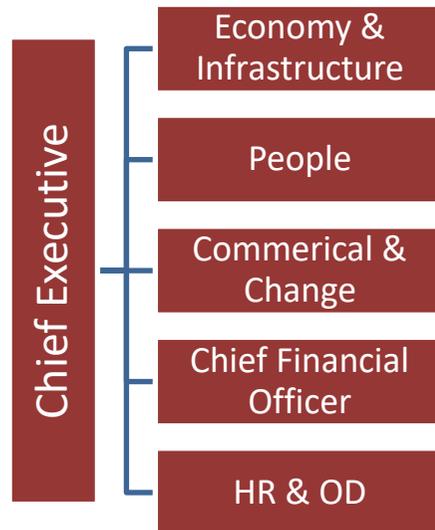
Full Council meetings are held regularly throughout the year. Council is responsible for agreeing the main policies and priorities for all services, including the County Council's budget. Cabinet is

responsible for most day to day Council decisions. The Leader of the Council, Simon Geraghty, appoints councillors to the Cabinet and these Cabinet members have specific areas of responsibility. There are currently nine members of Cabinet. Cabinet makes its decisions in line with overall policies, priorities and budget. All of its decisions are made in accordance with governance arrangements and details of Cabinet meetings are available at the following: [Browse meetings - Cabinet - Worcestershire County Council](#) The work of Council is supported by a number of other committees:



Further information about the County Council's governance arrangements can be found on the County Council website [www.worcestershire.gov.uk](http://www.worcestershire.gov.uk), in the Council, Democracy and Councillor Information section and in the Annual Governance Statement which forms part of this document.

The County Council is operationally managed by the Strategic Leadership Team, comprising the Chief Executive, directors from the 3 directorates and the Chief Financial Officer.



## Looking ahead and going concern

The 2021/22 budget was approved at Council on 18 February 2021 with the detailed proposals presented to Cabinet on 4 February 2021.

This budget and Medium Term Financial Plan was approved during the COVID-19 pandemic which has meant that there is an increased amount of financial uncertainty whilst we await notification of future funding levels from Central Government. The impact on the Council Tax and Business Rates funding baselines are difficult to predict although it is welcome that Government will fund a proportion of income losses to reduce the impact on Councils.

The May 2021 local elections will mean the Council will soon have a new Corporate Plan considering national and local economic recovery, alongside confirmation of the extent of any increased cost pressures or reductions in income.

The Council's Earmarked Reserves and General Fund Balance remain healthy and plans for 2021/22 are robust.

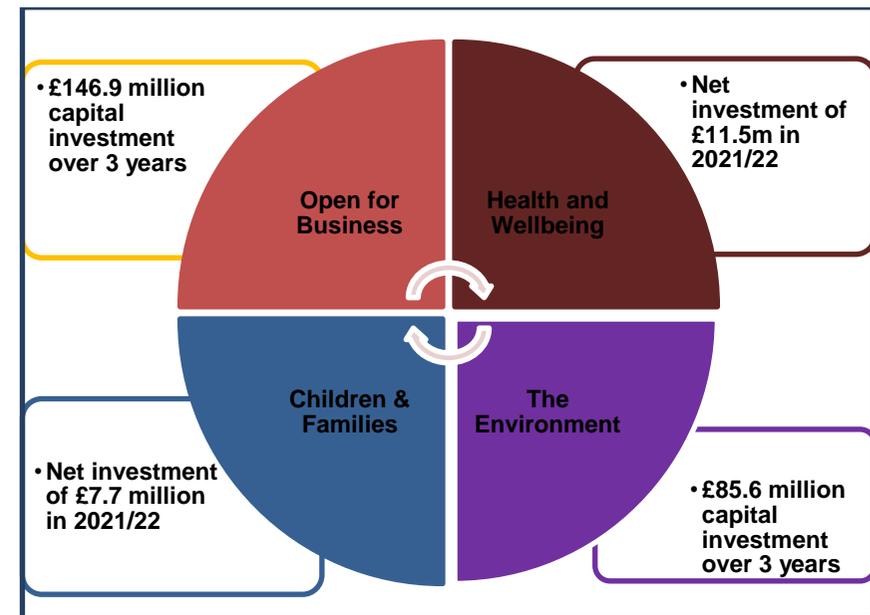
The paragraphs below details of the current budget for 2021/22.

### Expenditure

The net revenue budget requirement for 2021/22 is £355.531 million. That is a net £10.4 million more than 2020/21, however to achieve a balanced budget a programme of efficiency, reform and income proposals totalling £7.1 million and a £3.0 million withdrawal from Earmarked Reserves was approved by Council in February

2021.

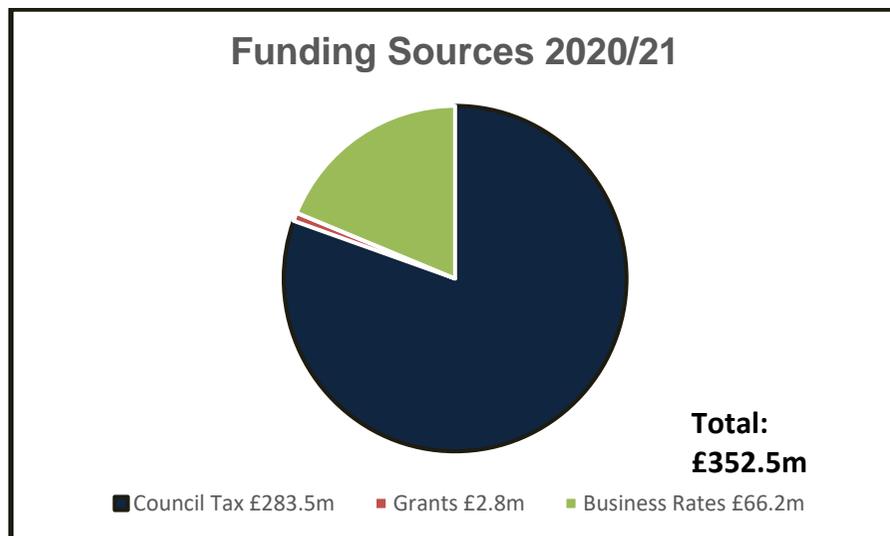
The Medium Term Financial Plan confirms the commitment to continue to resource the Council's Corporate Plan priorities. It includes a capital programme of £391.6 million to deliver regeneration, infrastructure and other changes during 2021-23.



We are supporting this with a commitment to invest £23.2 million to ensure that the County Council is operating efficiently, prepared for the future including more digitally enabled operations, and closer working with our key partners.

## Funding

The main sources of the County Council's income are collected locally, with local taxation through Council Tax and the Adult Social Care Precept accounting for 80% of core funding income in 2021/22.



The County Council, its six District Council partners and Hereford and Worcester Fire and Rescue Service participated in a Business Rates Retention Pilot Scheme in 2020/21 resulting in a total gain of £1.7 million. In 2021/22, the County Council and six District Councils plus Hereford and Worcester Fire and Rescue Service will form a pool under the allowed 50% Business Rates Retention Scheme which is likely to benefit Worcestershire residents by around £3.0 million.

## Medium Term Financial Plan 2021-24

The Medium-Term Financial Plan takes account of the Corporate Plan commitment, the cost of providing our services and current central government funding announcements. Our current assumptions will need to be updated in light of COVID-19 and likely levels of Central Government funding and local taxation income.

## Worcestershire Children First

The County Council's wholly owned subsidiary Worcestershire Children First (WCF) which was launched on 1<sup>st</sup> October 2019 has successfully completed its first full year of trading and has returned a surplus of £0.6 million whilst achieving its savings and performance targets.

The County Council has accounted for the activity of Worcestershire Children First through group accounts and these can be found at pages X to X in the 2020/21 Statement of Accounts.

## EU Exit - The potential impacts of the United Kingdom leaving the European Union

Following a referendum in June 2016, the UK government invoked Article 50 of the Treaty of the European Union, starting the process for the exit from the European Union. The UK left the European Union on 31 January 2020 and new rules in respect of trade, travel and business for the UK and EU took effect from 1 January 2021. There has been minimal impact on the County Council's accounts for 2020/21. We will continue to review the potential impact with our key partners, including our financial advisors, fixed asset valuers and the Pension Fund to actively manage any risks arising in the transition period and beyond.

## COVID-19

The Government has continued to issue grants to local government to support recovery activity into 2021/22 and the Council will continue to work with partners, suppliers and Health colleagues to ensure initial financial support is allocated to where it is most needed.

The recurrent nature of the impact of the pandemic is still being understood and will be included in the Council's revised Medium Term Financial Plan for 2022/23 and later.

## Statement of Responsibilities

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This sets out the respective responsibilities of the County Council and the Chief Financial Officer in respect of preparation of the Statement of Accounts.

### The Council is required to:

- Make arrangements for the proper administration of its financial affairs and to secure that one of its officers has the responsibility for the administration of those affairs. In this County Council, that officer is the Chief Financial Officer;
- Manage its affairs to secure economic, efficient and effective use of resources and safeguard its assets; and
- Approve the Statement of Accounts.

### Responsibilities of the Chief Financial Officer

The Chief Financial Officer is responsible for the preparation of the County Council's Statement of Accounts in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom (the Code).

In preparing this Statement of Accounts, the Chief Financial Officer has:

- Selected suitable accounting policies and then applied them consistently;
- Made judgements and estimates that were reasonable and prudent; and

- Complied with the Code of Practice on Local Authority Accounting

The Chief Financial Officer has also:

- Kept proper accounting records which were up to date; and
- Taken reasonable steps for the prevention and detection of fraud and other irregularities.

### Approval of Accounts

The date that the Statement of Accounts was approved is XX/XX 2021. All known material events that have occurred up to and including this date which relate to 2020/21 or before are reflected in the accounts.

In accordance with Regulation 9(1) of the Accounts and Audit Regulations 2015 I certify that the Statement of Accounts 2020/21 provides a true and fair view of the financial position of the County Council at 31 March 2021 and its income and expenditure for the year 2020/21.

**Michael Hudson, Chief  
Financial Officer**

In accordance with Regulation 9(2) b of the Accounts and Audit Regulations 2015 I certify that the Audit & Governance Committee approved the Statement of Accounts 2020/21 on XX/XX 2021.

**Nathan Desmond, Chairman  
of the Audit & Governance  
Committee**

## Introduction to the Statutory Accounts

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The Statutory Accounts presents Worcestershire County Council's (the County Council) financial position in line with statutory reporting requirements. The accounts are prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2020/21 (the Code) and the Accounts and Audit Regulations 2015 (as amended). The main objective of the Code is to give a true and fair view of the financial position of the County Council, including information about financial position, performance, the results of stewardship of management and any risks and uncertainties.

### Comprehensive Income and Expenditure Statement

This statement shows the accounting costs in year of providing services by the County Council. This is prepared in accordance with International Financial Reporting Standards (IFRS) rather than the amount to be funded from taxation. The taxation position is shown in the Movement in Reserves Statement. The Expenditure and Funding Analysis note reconciles the position between taxation related expenditure and accounting related transactions. The surplus or deficit on the provision of services shows the true economic cost of providing the County Council's services.

### Movement in Reserves Statement

This shows the movement on the different reserves held, analysed into usable and unusable reserves. The net increase / decrease before transfers to / from earmarked reserves shows the statutory General Fund balance before any discretionary transfers are undertaken.

### Balance Sheet

This shows the value of the assets and liabilities of the County Council, with the net assets matched by the reserves held. Reserves are categorised as usable, i.e. those the County Council can use to provide services, and unusable, i.e. those which cannot be used to provide services.

### Cash Flow Statement

This shows the change in cash and cash equivalents of the County Council, and classifies the cash as operating, investing and financing activities. The amount of net cash arising from operating activities is a key indicator of the extent to which the operations of the County Council are funded by way of taxation, grant income and fees and charges.

### Notes to the Accounts

These give further detail in support of the information provided in the main accounts. Notes are only provided where the amounts involved are material. Materiality is determined by the nature or magnitude of the disclosure and the potential for the user of the accounts being influenced by any omission. The notes include the relevant accounting policies which explain the basis for the figures included in the accounts and details of relevant estimates and judgements. Any estimations which are likely to lead to a material adjustment in the 2020/21 accounts are evaluated and detailed in the notes.

## Comprehensive Income and Expenditure Statement

2019/20	2019/20	2019/20		2020/21	2020/21	2020/21
Expenditure	Income	Net		Expenditure	Income	Net
£m	£m	£m		£m	£m	£m
<b>Service Expenditure Analysis</b>						
296.3	(145.3)	151.0	People	327.7	(194.2)	133.5
345.6	(236.7)	108.9	Children's Services	405.1	(289.1)	116.0
92.0	(26.5)	65.5	Economy & Infrastructure	100.9	(29.0)	71.9
32.9	(1.1)	31.8	Commercial & Change	39.0	(9.9)	29.1
28.5	(4.5)	24.0	Finance, HR & Chief Executive	51.4	(5.6)	45.8
<b>795.3</b>	<b>(414.1)</b>	<b>381.2</b>	<b>Net Cost of Services</b>	<b>924.1</b>	<b>(527.8)</b>	<b>396.3</b>
10.5	(4.5)	6.0	Other operating expenditure	3.9	(1.4)	2.5
77.9	(30.0)	47.9	Financing, investment income & expenditure	69.6	(30.3)	39.3
0.2	(419.2)	(419.0)	Taxation & non-specific grant income and expenditure	0.3	(467.3)	(467.0)
<b>883.9</b>	<b>(867.8)</b>	<b>16.1</b>	<b>(Surplus) / deficit on the provision of services</b>	<b>997.9</b>	<b>(1,026.8)</b>	<b>(28.9)</b>
<b>Other comprehensive income and expenditure:</b>						
		(26.2)	(Surplus) on revaluation of property, plant & equipment			(23.0)
		20.6	Downward revaluations on non-current assets charged to Revaluation Reserve			22.3
		(35.9)	Actuarial (gains) / losses on pension assets & liabilities			1.7
		<b>(41.5)</b>	<b>Taxation &amp; non-specific grant income and expenditure</b>			<b>1.0</b>
		<b>(25.4)</b>	<b>(Surplus) / deficit on the provision of services</b>			<b>(27.9)</b>

## Balance Sheet

31 March 2020		31 March 2021
£m		£m
1,070.7	Property, plant and equipment	1,088.7
1.7	Heritage assets	1.7
-	Investment property	11.9
5.4	Intangible assets	4.0
3.0	Long-term investments	3.0
115.9	Long-term debtors	108.6
<b>1,196.7</b>	<b>Long term assets</b>	<b>1,217.9</b>
7.6	Non-Operational Assets	5.7
5.0	Short-term investments	35.2
1.2	Inventories	1.4
93.9	Short-term debtors	103.8
71.6	Cash and cash equivalents	67.3
<b>179.3</b>	<b>Current assets</b>	<b>213.4</b>
(39.4)	Short-term borrowing	(70.2)
(115.1)	Short-term creditors	(145.2)
<b>(154.5)</b>	<b>Current liabilities</b>	<b>(215.4)</b>

31 March 2020		31 March 2021
£m		£m
(7.6)	Long-term provisions	(2.6)
(435.9)	Long-term borrowing	(457.6)
(654.9)	Other long-term liabilities	(609.3)
(29.4)	Grants receipts in advance	(24.8)
<b>(1,127.8)</b>	<b>Long-term liabilities</b>	<b>(1,094.3)</b>
<b>93.7</b>	<b>Net assets</b>	<b>121.6</b>
<b>Financed by:</b>		
144.4	Usable reserves	201.7
(50.7)	Unusable reserves	(80.1)
<b>93.7</b>	<b>Total reserves</b>	<b>121.6</b>



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Draft Annual  
Governance  
Statement 2020/21

## Introduction

The Annual Governance Statement is a review of our activities to ensure that the County Council is carrying out its functions effectively. The review includes an update of governance issues previously identified, current issues and an evaluation of the future position of the County Council.

Our risk management process is a key part of our governance arrangements and provides assurance that:

- our business is conducted in accordance with all relevant laws and regulations;
- public money is safeguarded and properly accounted for; and
- resources are used economically, efficiently and effectively to achieve agreed priorities which benefit local people.

## The governance framework

This Annual Governance Statement is published in accordance with the CIPFA/SoLACE Delivering Good Governance in Local Government Framework 2016. This comprises systems and processes for the direction and control of the County Council and the activities through which it accounts to, engages with and leads the community. It enables us to monitor the achievement of strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The County Council is committed to improving governance through a process of continual evaluation and review, delivered through the seven principles of good governance as identified in the Delivering Good Governance in Local Government Framework 2016 and supported by processes which strengthen corporate governance such as the Corporate Risk Management Group.

Our system of internal control is designed to manage risk to a reasonable level and is based on an ongoing process to identify and manage risks to the achievement of policies, aims and objectives, to evaluate the likelihood of those risks being realised, and to manage them efficiently, effectively and economically. It cannot eliminate all risk of failure but provides reasonable assurance of effectiveness.



Set out below are the activities carried out by the County Council which contribute to our delivery of the seven principles in the CIPFA/SoLACE Framework during 2020/21.

### **Core Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law**

We have arrangements in place to provide assurance that our values are upheld, and that members and officers demonstrate high standards of conduct and behaviour to comply with laws and regulations.

These include:

- Codes of conduct for officers and members;
- The inclusion of ethical values in policies and procedures for all areas;
- A complaints procedure ensuring appropriate investigation and response
- A Whistleblowing Policy which enables employees and others who have serious concerns about any aspect of the Council's work to come forward and voice those concerns;
- A commitment to equality of opportunity for all citizens, in line with the Public Sector Duty as set out in the Equality Act 2010; and
- Our Constitution, which sets out the conditions to ensure that all officers, key post holders and members can fulfil their responsibilities in accordance with legislative requirements. Roles, responsibilities and delegated authority for individual Members, the Council, Cabinet and senior officers are documented.

### **Core Principle B: Ensuring openness and comprehensive stakeholder engagement**

The Chief Executive, Chief Officer Group and Strategic Leadership Team value and are committed to acting on staff feedback. The

County Council has an annual staff survey, frequent pulse surveys and staff briefings. Staff are involved in issue resolution arrangements.

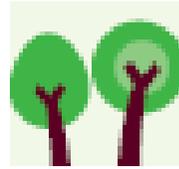
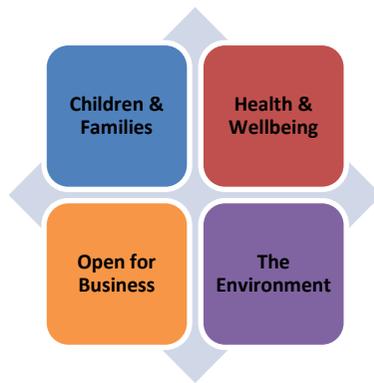
In 2020/21, the 2020 Worcestershire County Council Viewpoint Survey enabled Councillors and Officers to engage with members of the local community to receive feedback and monitor public perception in relation to local priorities, satisfaction with Council services and level of engagement.

Feedback from events and surveys help to inform the Council's four corporate priorities: supporting Children and families, promoting Health and Well Being, protecting the Environment and championing Open for Business.

We are registered as a Controller under the General Data Protection Regulation (GDPR) which governs how we manage and process the information we collect and retain. We have a nominated Data Protection Officer and procedures in place that explain how we use and share information, as well as arrangements for members of the public to access information. We have also adopted the model publication scheme produced by the Information Commissioner's Office.

### **Core Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits**

Our Corporate Plan, Shaping Worcestershire's Future 2017-22, identifies four key priorities that help us shape the future vision for Worcestershire and focus the delivery of our services.



**The Environment** - Worcestershire's environment is one of our key features and contributes to enhancing the quality of life for residents and visitors. We are committed to improving our infrastructure networks, including transport and digital technology to support business and encourage investment. We also have a key focus on minimising waste which goes to landfill.



**Health and Wellbeing** – we are working with local partners to support our residents to be healthier, live longer, have better quality of life and remain independent for as long as possible. Our focus on adult social care aims to keep people with support and care needs as independent as possible by providing choice in how to live their lives.

All services have plans in place in line with approved budgets to deliver the key outcomes contained in the Corporate Plan. Management of these plans varies by service, but includes key performance indicators, ongoing outcome monitoring and reports to management teams and committees as appropriate.

**Open for Business** – we have a significant programme of improvements in workforce skills, employment, infrastructure and productivity. We are aiming to become a financially self-sufficient Council and to achieve this aim we are promoting and supporting businesses in the County and



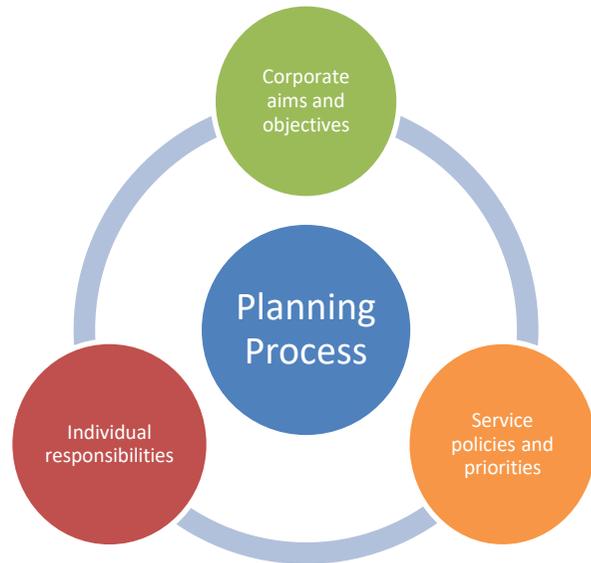
those looking to relocate here.

**Children and Families** – we have a strong focus on improving outcomes for the children, young people and families of Worcestershire. We support schools with achieving a good or outstanding rating by Ofsted and facilitating young people achieving five or more good GCSE's, and support young people moving



successfully into employment. These services are delivered in conjunction with our wholly owned company, Worcestershire Children First.

## Core Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes



The County Council's planning process works to support and optimise delivery and identify and mitigate any risks.

Each key area of focus identifies several aims and targets and responsibility for achieving these lies with individual directorates, and relevant aims and targets are included in individual service delivery plans. Risks and issues are managed by the Risk and Assurance Manager, supported by the Corporate Risk Management Group. The process has been at a high level during 2020/21 as the focus was on the COVID-19 emergency response process with non-COVID-19 risks managed at service level. The Risk and Assurance Manager has retained close contact with the Corporate Risk Management Group during this time and reporting has continued to the Audit and Governance Committee and Covid Silver Command.

Progress against the Corporate Plan is monitored and reported to councillors on a regular basis.

## Core Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it

To deliver our objectives, we rely on our staff to carry on the great work they already do daily which is underpinned by Our People Values:

- **Customer Focus** - putting the customer at the heart of everything we do
- **'Can do' Culture** – being proactive to achieve excellence
- **Freedom within Boundaries** – courage to make constructive change

We aim to drive change, develop talent and optimise potential and enable managers and leaders to develop and motivate our workforce to allow it to be future fit. Reviewing the talent and potential of our workforce enables us to better understand and identify the potential we can develop over the coming years.

Our annual performance review scheme forms a central part of our planning process. Discussions and review sessions take place between every member of staff and their line manager to agree and track personal objectives and actions, with formal mid-year reviews as a key part of the process. 98% of staff received mid-year reviews during 2020/21.

## **Core Principle F: Managing risks and performance through robust internal control and strong public financial management**

Risk management is about the identification, analysis and control of threats or events that adversely affect the achievement of the County Council's strategic and operational objectives. It also enables positive risks to be taken to innovate and improve service provision. The Risk Management Strategy details the methodology for evaluating corporate risk management arrangements and its delivery is enabled by the Corporate Risk Management Group. A specific risk framework was put in place to manage the risks identified as a result of the COVID-19 crisis, with the County Council's Corporate Emergency Response Framework activated as part of our response.

The County Council's Anti-Fraud and Corruption Strategy embeds effective standards in countering fraud, corruption and theft. The Chief Financial Officer is responsible for ensuring this Strategy is applied and that the CIPFA Code of Practice on Managing the Risk of Fraud and Corruption is followed. The County Council supports and submits data for the National Fraud Initiative (NFI) and assesses all matches for review and, where appropriate, mitigation.

Financial Regulations form part of the Constitution and set out our financial management framework for ensuring we make the best use of the money we have available to spend. It outlines the financial roles and responsibilities for staff and Members and provides a framework for financial decision-making. Where there are specific statutory powers and duties the Financial Regulations seek to ensure these are duly complied with, as well as reflecting best professional practice and decision-making.

## **Core Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability**

We endeavour to always be open and transparent through our officer and member activity. A large amount of information is available on the County Council website which gives details of the working of the organisation, what we spend, and how our decisions are made.

The Forward Plan provides information about the matters on which the County Council will make decisions. Formal agenda, reports and minutes for all committee meetings are published on our website which ensures that people know what decisions the County Council is planning to take, and the decisions taken.

Our Monitoring Officer has a specific duty to ensure the County Council, its officers and elected councillors maintain the highest standards in all they do. A new Monitoring Officer was appointed in June 2020 to continue to ensure the highest standards of conduct are upheld.

Arrangements are in place to ensure that we fully comply with the requirements of the Public Sector Internal Audit Standards (PSIAS) and CIPFA Statement on the Role of the Head of Internal Audit.

## Assessment of effectiveness of governance arrangements

The governance framework described above has been in place throughout 2020/21 and maintained to the date of the approval of the Statement of Accounts. Key governance arrangements during 2020/21 comprised the following:

<b>Audit &amp; Governance Committee</b>	The Audit & Governance Committee oversees the audit and corporate governance arrangements of the County Council including annual audit plans and reports of internal and external auditors, the County Council's system of internal control, risk management and prevention and detection of fraud and corruption.
<b>Chief Officer Group</b>	The Chief Officer Group has responsibility for overseeing the implementation of cross organisational strategy and the development and implementation of operational plans, policies, procedures and budgets prior to Senior Leadership Team and Committee approval. The Group promotes robust, fit for purpose governance across the County Council.
<b>Strategic Leadership Team</b>	The County Council's Strategic Leadership Team is responsible for ensuring that effective governance arrangements are in place and are subject to regular review. The Team provide leadership, determine policy and uphold expected standards of behaviour.
<b>Overview &amp; Scrutiny Performance Board</b>	The Board's main responsibilities include commissioning work for scrutiny panels and establishing scrutiny task groups to ensure that significant issues are subject to appropriate review and scrutiny.
<b>Standard &amp; Ethics Committee</b>	The Committee ensures that high standards of conduct are maintained by County Councillors and co-opted member by reference to the Council's Code of Conduct.
<b>Monitoring Officer</b>	The Monitoring Officer is responsible for maintaining the register of Councillors' interests and deals with complaints of Member breaches of the County Council's Code of Conduct. The Monitoring Officer has a statutory duty to report breaches of the County Council's legal obligations and findings of maladministration.

<b>Chief Finance Officer</b>	The Chief Financial Officer is responsible for the oversight and delivery of financial management arrangements; achieved through a robust financial control framework, financial regulations, standing orders, a scheme of delegation and an independent and objective Internal Audit function.
<b>Risk Management</b>	<p>The Corporate Risk Management Group is responsible for maintaining the Corporate Risk Register and monitoring identified risks, controls and mitigating actions. Directorate Leadership Teams monitor and review Directorate Risk Registers and allocate resources to ensure risks management arrangements are effective.</p> <p>Specific risk management procedures are in place in response to the COVID-19 emergency response, led by the Risk and Assurance Manager and reporting to Silver Command on a regular basis.</p>

## Audit and Audit Assurances

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The Council's Statement of Accounts are audited by Grant Thornton UK LLP. In accordance with statutory requirements, the annual audit includes an examination and certification of the financial statements to confirm they are 'true and fair' and an assessment of the County Council's arrangements to secure economy, efficiency and effectiveness in its use of resources. In 2019/20, Grant Thornton gave an unqualified audit opinion on the financial statements.

Internal audit services are provided by the County Council's in-house team. The team's role is to enhance and protect the County Council's value by providing risk-based and objective assurance, advice and insight. It is responsible for reviewing the adequacy of internal controls across all areas of the County Council and its services are managed and delivered in accordance with the Public Sector Internal Audit Standards (PSIAS).

The work of the Internal Audit team is supported by external providers for specialist reviews such as technical audits of IT systems. Further assurance is provided by reviews undertaken by external agencies including OFSTED, the Care Quality Commission, the Office of the Information Commissioner and other Local Authority Inspectorates.

The Audit & Governance Committee approve the Internal Audit Charter and Audit Plan which outline the role of Internal Audit, its responsibilities and independence and the planned programme of audit work.

The work of Internal Audit has been impacted by the Council's response to the COVID-19 pandemic and also significant staff changes. A flexible plan has enabled work to be focused on key

risks and the Chief Internal Auditor has maintained close links with the leadership of the Council to ensure that adequate assurance and organisational coverage is delivered. Based on the results of assurance and advisory work undertaken during the year, the Chief Internal Auditor's annual opinion is that the control environment provides **moderate assurance** that the significant risks facing the County Council are addressed.

## Significant Governance Considerations

Recurrent Considerations / Brought Forward from 2019/20	Update on Progress
<p><b>Serious harm or death of a child or young person</b> Safeguarding risk because of serious harm or death of a child or failure to safeguard children. Reputational risk as a result of poor inspection or service breakdown.</p>	<p>Safeguarding issues have been monitored and managed through the WCF Performance Board and through partnership working with the Worcestershire Safeguarding Children Partnership (WSCP) and other local strategic partners. Quality Assurance measures are in place safeguarding and activity has been monitored by the WSCP Safeguarding Practice Review Board and Get Safe Partnership Board.</p>
<p><b>Activity exceeds budget allocation</b> Inadequate budgets and / or ineffective financial management will impact on the County Council's ability to effectively provide services and impair our ability to forward plan. The level of earmarked and general reserves could also be impacted by any unplanned draw down.</p>	<p>Regular budget monitoring and forecasting remain a focus of our financial management processes. Management accounts, which report actual income and expenditure against budgeted and forecast performance, have been prepared on a monthly basis and the achievement of savings targets and use of Council reserves has been monitored throughout the year as part of ongoing activity to consider financial sustainability and inform our assessment of going concern.</p>
<p><b>Serious harm or death of a vulnerable adult</b> A safeguarding risk because of serious harm / death from failure to safeguard a vulnerable adult. We also face reputational risk as a result of service breakdown.</p>	<p>A Safeguarding Adult Board is in place with representation from safeguarding partners. A centralised Adult Safeguarding Team located within the Safeguarding Hub ensures competency of staff, information sharing and consistency in decision making. The Adult Safeguarding Team are aligned with the Area Teams and 3 Conversations processes. Staff are assessed against WSAB safeguarding competency framework.</p>

2020/21 New Governance Considerations	Identified Actions
<b>COVID-19</b>	<p>The Council's focus in 2020/21 was on its response to the COVID-19 pandemic; implementing revised governance arrangements and working with strategic partners to deliver an emergency response to safeguard the residents of Worcestershire.</p> <p>Activation of the Corporate Emergency Response Framework and the Worcestershire COVID-19 Economic Response, Recovery and Resilience Group (WERRG) enabled wider engagement and alignment of objectives across local partner organisations. The impact of increased expenditure and lost income directly attributable to the Council's response to COVID-19 was monitored as part of routine financial monitoring activity and reported to Central Government in line with deadlines throughout the year.</p>

### Issues identified for 2021/22

A number of the issues and corresponding action plans noted above will continue to be the key focus for the County Council's leadership in 2021/22:

- Safeguarding vulnerable children and adults;
- Ensuring a financially sustainable medium-term budget, including monitoring the ongoing financial impact of COVID-19 on budgeted income and expenditure; and
- Consideration of the response to and recovery from the impact of COVID-19 on residents and the local economy, including any legacy impact on care provision.

### Certification

To the best of our knowledge, the governance arrangements, as defined above have been effective. We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation during the year and as part of our next annual review and through the County Council's Corporate Risk Management Group.

**Paul Robinson**

**Chief Executive**

**Date: XXXX**

**Simon Geraghty**

**Leader of the County Council**

**Date: XXXX**



P12 2020/21 Outturn					One Off / Adjustments					
Service	2020/21 Gross Budget	2020/21 Net Budget	2020/21 Actual	20/21 Draft Variance Before Adj's	Transfer to Capital	Use of Reserves	Proposed C/Fwds	2020/21 Total	Variance After Adj's	Variance After Adj's
	£000	£000	£000	£000	£000	£000	£000	£000	£000	%
DSG - School Formula Budgets	126,528	126,528	124,386	(2,142)			2,142	126,528	0	0.0%
DSG - High Needs Pupils	51,863	51,863	55,828	3,965			(3,966)	51,862	0	0.0%
DSG - Early Years	35,963	35,963	35,007	(957)			957	35,964	0	0.0%
DSG - Statutory Duties / Historic Commitments	3,515	3,515	3,422	(94)			94	3,516	0	0.0%
DSG - Other School Grants	15,176	0	0	0				0	0	0.0%
DSG - Dedicated Schools Grant	1,816	(217,869)	(218,642)	(773)			773	(217,869)	0	0.0%
<b>Dedicated Schools Grant (DSG)</b>	<b>234,861</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
WCF Contract	117,995	101,541	99,677	(1,863)			1,750	101,427	(113)	-0.1%
<b>WCF (Excl DSG)</b>	<b>117,995</b>	<b>101,541</b>	<b>99,677</b>	<b>(1,863)</b>	<b>0</b>	<b>0</b>	<b>1,750</b>	<b>101,427</b>	<b>(113)</b>	<b>-0.1%</b>
Business, Administration & Systems	458	(375)	(318)	57				(318)	57	-15.1%
Strategic Land & Economy	4,428	1,116	848	(268)	(41)	(229)	250	828	(288)	-25.8%
Waste management	47,169	27,947	28,754	807		(807)		27,947	0	0.0%
Infrastructure & Assets	6,250	6,146	5,541	(605)	(58)			5,483	(663)	-10.8%
Winter Maintenance	1,179	1,179	1,528	349				1,528	349	29.6%
Project Delivery	3,103	359	569	210	(247)	(180)		142	(217)	-60.4%
Sustainable Schemes	527	13	643	630	(515)			128	115	902.4%
Operations, Highways and PROW	8,420	6,951	8,908	1,957	(1,345)			7,563	612	8.8%
Transport Operations	16,390	11,114	9,891	(1,223)		(45)	979	10,825	(289)	-2.6%
Planning & Regulation	1,902	908	1,809	901	(71)		50	1,788	880	97.0%
Network Control	3,185	567	131	(435)	(131)			0	(566)	-99.9%
<b>Economy &amp; Infrastructure</b>	<b>93,012</b>	<b>55,924</b>	<b>58,303</b>	<b>2,379</b>	<b>(2,408)</b>	<b>(1,261)</b>	<b>1,279</b>	<b>55,913</b>	<b>(11)</b>	<b>0.0%</b>

P12 2020/21 Outturn					One Off / Adjustments					
Service	2020/21 Gross Budget	2020/21 Net Budget	2020/21 Actual	20/21 Draft Variance Before Adj's	Transfer to Capital	Use of Reserves	Proposed C/Fwds	2020/21 Total	Variance After Adj's	Variance After Adj's
	£000	£000	£000	£000	£000	£000	£000	£000	£000	%
COACH - Management	586	238	220	(18)				220	(18)	-7.7%
Legal and Democratic Services	8,145	5,172	4,867	(305)			109	4,976	(196)	-3.8%
Commercial, Management Information & Research	2,622	292	276	(16)				276	(16)	-5.4%
Property Services	9,287	715	275	(440)			40	315	(400)	-55.9%
Digital, IT and Customer Services	9,131	504	389	(115)		(18)	117	488	(16)	-3.2%
Programme Office	1,229	33	33	0				33	0	0.0%
<b>Commercial and Change</b>	<b>31,001</b>	<b>6,954</b>	<b>6,060</b>	<b>(893)</b>	<b>0</b>	<b>(18)</b>	<b>266</b>	<b>6,308</b>	<b>(645)</b>	<b>-9.3%</b>
Engagement & Communications	755	71	(14)	(86)				(14)	(86)	-120.2%
Health & Safety	350	22	(30)	(52)			35	5	(17)	-79.5%
HR - Core	5,120	463	(179)	(643)			284	105	(359)	-77.4%
HR - Old	0	0	0	0				0	0	0.0%
Chief Executive	612	448	380	(69)				380	(69)	-15.3%
<b>Chief Executive</b>	<b>6,838</b>	<b>1,005</b>	<b>156</b>	<b>(849)</b>	<b>0</b>	<b>0</b>	<b>319</b>	<b>475</b>	<b>(530)</b>	<b>-52.8%</b>
Adults Commissioning Unit	12,621	689	831	142				831	142	20.6%
Learning Disabilities	70,573	61,111	62,404	1,293				62,404	1,293	2.1%
Mental Health	22,342	17,048	17,286	238				17,286	238	1.4%
Older People	97,381	62,682	59,937	(2,745)				59,937	(2,745)	-4.4%
Physical Disabilities	18,568	15,721	14,465	(1,255)				14,465	(1,255)	-8.0%
Support Services	(660)	(16,569)	(15,072)	1,497				(15,072)	1,497	-9.0%
Future Fit	(0)	(9,819)	(9,590)	230				(9,590)	230	-2.3%
<b>People - Adult Services</b>	<b>220,825</b>	<b>130,863</b>	<b>130,261</b>	<b>(602)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>130,261</b>	<b>(602)</b>	<b>-0.5%</b>

P12 2020/21 Outturn					One Off / Adjustments					
Service	2020/21 Gross Budget	2020/21 Net Budget	2020/21 Actual	20/21 Draft Variance Before Adj's	Transfer to Capital	Use of Reserves	Proposed C/Fwds	2020/21 Total	Variance After Adj's	Variance After Adj's
	£000	£000	£000	£000	£000	£000	£000	£000	£000	%
Adult Provider Services	13,958	9,112	9,382	269				9,382	269	3.0%
Strategic Libraries	12,190	4,919	4,268	(652)				4,268	(652)	-13.2%
Museum Services	754	636	672	36				672	36	5.7%
Archives and Archaeology	3,294	1,525	1,525	0				1,525	0	0.0%
Greenspace & Gypsy Services	1,810	500	418	(82)				418	(82)	-16.5%
Community Services Leadership Team	204	204	196	(9)				196	(9)	-4.2%
Skills & Inv incAdult learning	2,080	414	415	1				415	1	0.3%
Severn Arts Music	0	0	0	0				0	0	0.0%
SENDIASS	160	95	95	0				95	0	0.0%
Children's Commissioning and Partnerships	349	349	103	(246)				103	(246)	-70.5%
PFI Childrens Services	11,690	380	520	140			124	644	264	69.6%
Education Statutory	43	0	(0)	(0)				(0)	(0)	0.0%
Registration & Coroner	2,160	872	726	(146)				726	(146)	-16.7%
<b>People - Communities</b>	<b>48,692</b>	<b>19,008</b>	<b>18,320</b>	<b>(688)</b>	<b>0</b>	<b>0</b>	<b>124</b>	<b>18,444</b>	<b>(564)</b>	<b>-3.0%</b>
Public Analyst	67	67	(14)	(81)				(14)	(81)	-120.6%
Trading Standards	872	183	183	0				183	0	0.0%
Childrens S75	1,918	1,512	1,663	151				1,663	151	10.0%
Non PHRFG activities	0	0	0	0				0	0	0.0%
Public Health Grant Funded Services	31,251	0	(0)	(0)				(0)	(0)	0.0%
<b>People - Public Health</b>	<b>34,108</b>	<b>1,762</b>	<b>1,833</b>	<b>71</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,833</b>	<b>71</b>	<b>4.0%</b>
<b>Total : Services (Excl DSG)</b>	<b>552,470</b>	<b>317,056</b>	<b>314,610</b>	<b>(2,445)</b>	<b>(2,408)</b>	<b>(1,279)</b>	<b>3,738</b>	<b>314,661</b>	<b>(2,394)</b>	<b>-0.8%</b>

P12 2020/21 Outturn					One Off / Adjustments					
Service	2020/21 Gross Budget	2020/21 Net Budget	2020/21 Actual	20/21 Draft Variance Before Adj's	Transfer to Capital	Use of Reserves	Proposed C/Fwds	2020/21 Total	Variance After Adj's	Variance After Adj's
	£000	£000	£000	£000	£000	£000	£000	£000	£000	%
Financial Services	4,371	565	240	(325)				240	(325)	-57.6%
Financing Transactions (Borrowing and Investments)	15,969	15,593	13,254	(2,339)				13,254	(2,339)	-15.0%
MRP	10,782	10,782	5,326	(5,456)				5,326	(5,456)	-50.6%
Contributions and Precepts	259	259	253	(6)				253	(6)	-2.5%
Pension Fund Backfunding Liabilities	4,401	4,401	4,316	(85)				4,316	(85)	-1.9%
Miscellaneous Whole Organisation Services	608	358	(295)	(653)				(295)	(653)	-182.3%
New Homes Bonus Grant Income	0	(2,614)	(2,608)	6				(2,608)	6	-0.2%
COVID-19 / COMF	0	0		0				0	0	0.0%
Whole Organisation - Contingency	431	431	0	(431)				0	(431)	-100.0%
<b>Finance / Corporate Items</b>	<b>36,821</b>	<b>29,775</b>	<b>20,486</b>	<b>(9,289)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>20,486</b>	<b>(9,289)</b>	<b>-31.2%</b>
Organisation Review	(1,692)	(1,692)	(1,762)	(70)				(1,762)	(70)	4.1%
Other General Covid-19 Pressures	0	0	0	0				0	0	0.0%
Commercial Savings	0		0	0				0	0	
Financial Risk Reserve	0		0	0				0	0	
<b>Non-Assigned Items</b>	<b>(1,692)</b>	<b>(1,692)</b>	<b>(1,762)</b>	<b>(70)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(1,762)</b>	<b>(70)</b>	<b>4.1%</b>
<b>Funding - Transfer To/(From) Reserves</b>	<b>1,112</b>	<b>1,112</b>	<b>(105)</b>	<b>(1,217)</b>	<b>0</b>		<b>12,188</b>	<b>12,083</b>	<b>10,971</b>	
<b>Total (Excl DSG)</b>	<b>588,712</b>	<b>346,251</b>	<b>333,229</b>	<b>(13,022)</b>	<b>(2,408)</b>	<b>(1,279)</b>	<b>15,926</b>	<b>345,468</b>	<b>(783)</b>	<b>-0.2%</b>
Council Tax	(279,130)	(279,130)	(279,130)	0				(279,130)	0	0.0%
Collection Fund (Surplus) / Deficit	(2,820)	(2,820)	(2,820)	0				(2,820)	0	0.0%
Business Rates Reserve	(500)	(500)	(500)	0				(500)	0	0.0%
Business Rates Retention Scheme	(63,801)	(63,801)	(63,801)	0				(63,801)	0	0.0%
<b>Total - Funding</b>	<b>(346,251)</b>	<b>(346,251)</b>	<b>(346,251)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(346,251)</b>	<b>0</b>	<b>0.0%</b>
<b>Grand Total - Services and Funding (Excl DSG)</b>	<b>242,460</b>	<b>(0)</b>	<b>(13,023)</b>	<b>(13,022)</b>	<b>(2,408)</b>	<b>(1,279)</b>	<b>15,926</b>	<b>(784)</b>	<b>(783)</b>	
Dedicated Schools Grant (DSG)	234,861	0	0	0	0	0	0	0	0	
<b>Total</b>	<b>477,321</b>	<b>(0)</b>	<b>(13,022)</b>	<b>(13,022)</b>	<b>(2,408)</b>	<b>(1,279)</b>	<b>15,926</b>	<b>(783)</b>	<b>(783)</b>	<b>-0.226%</b>

<b>P12 2020/21 Outturn</b>					
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**Directorate Variances over £250,000**

<b>Subtotal</b>	185,480	173,709	(11,771)	-6%
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S/H	Dir.	Service	Budget £000	Projection £000	Variance £000	Variance %	Comment
S	PEOPLE	Learning Disabilities	61,111	62,404	1,293	2.1%	Increase placement costs due to Covid.
S	PEOPLE	Older People	62,682	59,937	(2,745)	-4.4%	Reduction in placement numbers compared to budgeted level due to Covid.
S	PEOPLE	Physical Disabilities	15,721	14,465	(1,255)	-8.0%	Reduction in placement numbers compared to budgeted level due to Covid.
S	PEOPLE	Support Services	(16,569)	(15,072)	1,497	-9.0%	Includes redundancies and Pension Strain. Also include £797k of iBCF transfer to provider services.
S	PEOPLE	Strategic Libraries	4,919	4,268	(652)	-13.2%	£295k relating to Here to Help funding from Public Health, £60k underspend on The Hive plus general underspends across all individual libraries, offset by costs of the relief pool charged to Covid grants.
H	PEOPLE	Children's Commissioning and Partnerships	349	103	(246)	-70.5%	Additional Grant funding from Covid 19.
S	PEOPLE	PFI Childrens Services	380	644	264	69.6%	Expected to be funded from transformational fund or capitalisation costs - these relate to year 2 set up costs expected for changing service delivery. This has been offset by £65k underspend on the Finstall Centre relating to reduced running costs as a result of Covid.
S	E&I	Strategic Land & Economy	1,116	828	(288)	-25.8%	There is £200k relating to lost commercial lettings rent not covered by Government Covid Grants partly offset by other grants over achieving.
S	E&I	Infrastructure & Assets	6,146	5,483	(663)	-10.8%	There are a number of vacant posts across all of the teams within Infrastructure and Assets and the Road Lighting Team resulting in forecast underspend of £0.320m offset by consultants employed to cover some of the work at a cost of £0.065m. There is also £0.230m underspend on energy costs (street lighting).
S	E&I	Winter Maintenance	1,179	1,528	349	29.6%	Increased costs of Winter Core Services and restock of salt reserves plus additional staffing costs due to poorer weather than average.
S	E&I	Operations, Highways and PROW	6,951	7,563	612	8.8%	Additional fleet and hire charges and additional agency costs for essential technical inspections and footway schemes planning. Further costs of professional fees of £111k and less income received via Section 38/278 drawdown by £87k.
S	E&I	Transport Operations	11,114	10,825	(289)	-2.6%	Continued reduced patronage on Concessionary Fares reimbursement budget of £0.760m and additional driver training income of £0.280m in line with 2020/21. Employee underspend of £0.240m offset by unachieved savings target of £0.102m. Balance relates to increased costs of loss of bus fare income, reduced recharges for students and new bus routes offset by Covid and new Bus Support Services Grant.
S	E&I	Planning & Regulation	908	1,788	880	97.0%	Largely due to transport planning, including £220k of redundancy payments, capitalised time underclaimed £197k, professional fees to Jacobs of £492k, increase in planning applications fee income carried forward £108k. These have been offset by underspends on salaries and other running costs.
S	E&I	Network Control	567	1	(566)	-99.8%	Additional income generated through streetworks and permits of £462k and increased capitalisation at year end of £104k
S	COACH	Property Services	715	315	(400)	-55.9%	Underspend on Jacobs contract & PPL passthrough property costs
S	CEX	HR - Core	463	105	(359)	-77.4%	Underspend on Talent Management, staffing vacancies & apprenticeship levy payable
S	FIN	Financial Services	565	240	(325)	-57.6%	Reduced expenditure and achievement of savings
S	FIN	Financing Transactions (Borrowing and Investments)	15,593	13,254	(2,339)	-15.0%	Temporary impact of deferring borrowing costs
S	FIN	MRP	10,782	5,326	(5,456)	-50.6%	Lower MRP charge from current MRP policy and capital expenditure slippage
S	FIN	Miscellaneous Whole Organisation Services	358	(295)	(653)	-182.3%	Solar Panel income reimbursement from schools to offset previous loans
S	FIN	Whole Organisation - Contingency	431		(431)	-100.0%	Corporate Contingency not spent

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<b>P12 2020/21 Outturn</b>
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### Transfers To Capital

<b>Subtotal</b>	<b>2,408</b>
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S/H	Dir.	Service	Trf to Capital £000	Capitalisation - Comments
S	E&I	Strategic Land & Economy	41	Economic Development activity charge to capital projects
S	E&I	Infrastructure & Assets	58	Capitalised costs of sustainable schemes
S	E&I	Project Delivery	247	General E&I project delivery as planned in line with budget
S	E&I	Sustainable Schemes	515	As planned and in line with budget
S	E&I	Operations, Highways and PROW	1,345	Countryside Access additional new development work
S	E&I	Planning & Regulation	71	Strategic Planning management
S	E&I	Network Control	131	Capitalisation of salaries in network control

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<b>P12 2020/21 Outturn</b>
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**Additional Use of Reserves**

<b>Reserves</b>	<b>Subtotal</b>	<b>(1,279)</b>
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S/H	Dir.	Service	Additional Use of Reserves £000	Additional Use of Reserves - Detail
S	E&I	Strategic Land & Economy	(229)	Movement to Waste Transformation Reserve
S	E&I	Waste management	(807)	Application of reserve monies to fund specific Waste Disposal expenditure during the year
S	E&I	Sustainable Schemes	(180)	Withdrawal from reserves to manage prioritised activity during the year
S	E&I	Transport Operations	(45)	Community Transport
S	COACH	Digital, IT and Customer Services	(18)	Staffing Costs funded from Transformation Fund reserve to support service development

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<b>P12 2020/21 Outturn</b>
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## Proposed Carry forwards

<b>C/fwd</b>	<b>Subtotal</b>	<b>15,926</b>
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S/H	Dir.	Service	Cfwd	
			£000	Carry Fwds - Detail
S	PEOPLE	PFI Childrens Services	124	Bromsgrove School PFI Support
S	E&I	Strategic Land & Economy	250	Commercial Income
S	E&I	Transport Operations	979	Funding carried forward to support future waste transformation
S	E&I	Planning & Regulation	50	Minerals Plan funding carried forward in accordance with budget assumption
S	COACH	Legal and Democratic Services	109	Transfer to Election reserve
S	COACH	Property Services	40	Annual planned contribution to Wildwood Sinking Fund
S	COACH	Digital, IT and Customer Services	117	Digital and broadband contribution to Smarter Ways of Working
S	CEX	Health & Safety	35	Equality & Diversity Improvements
S	CEX	HR - Core	284	Talent Management Programme transfer to Smarter Ways of Working workforce workstream
S	CFC	WCF Contract	1,750	SEND Transport demand changes and placements cost pressures
S	CFC	DSG - School Formula Budgets	2,142	Unspent Schools spending carried forward
S	CFC	DSG - High Needs Pupils	(3,966)	High Needs Deficit for 2020/21
S	CFC	DSG - Early Years	957	Funding carried forward to 21/22
S	CFC	DSG - Statutory Duties / Historic Commitments	94	Funding carried forward to 21/22
S	CFC	DSG - Dedicated Schools Grant	773	Overspend of High Needs DSG
S	FIN	Transfer To/(From) Reserves	5,207	Transfer to Waste PFI Reserve for future planned waste disposal expenditure
S	FIN	Transfer To/(From) Reserves	2,400	Create Education and High Needs risk reserve
S	FIN	Transfer To/(From) Reserves	3,000	Increase Future Capital Investment Reserve to support future capital investment
S	FIN	Transfer To/(From) Reserves	1,581	Increase to Financial Risk Reserve

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	01/04/2020	Out	In	31/03/2021	Movement
	£	£	£	£	£
<b>Open for Business</b>					
Revolving Door	8,171,467.89	-209,505.75	1,702,095.81	9,664,057.95	1,492,590.06
Open for Business	646,008.61	-199,192.68	3,088,704.24	3,535,520.17	2,889,511.56
LABGI	568,422.26	0.00	0.00	568,422.26	0.00
Mineral/Waste local plan	579,108.99	-200,000.00	250,000.00	629,108.99	50,000.00
LEP Reserve	264,069.81	-1,022,769.19	1,153,605.97	394,906.59	130,836.78
Growing Places	2,935,824.29	-915,158.92	47,308.00	2,067,973.37	-867,850.92
Apprenticeship	75,883.42	0.00	0.00	75,883.42	0.00
Loans Fund Legacy	354,182.66	0.00	76,669.76	430,852.42	76,669.76
Shrub Hill	0.00	0.00	250,000.00	250,000.00	250,000.00
	<b>13,594,967.93</b>	<b>-2,546,626.54</b>	<b>6,568,383.78</b>	<b>17,616,725.17</b>	<b>4,021,757.24</b>
<b>Children &amp; Families</b>					0.0
New Worcester Library	32,626.05	0.00	0.00	32,626.05	0.00
Safeguarding	1,100,000.00	0.00	800,000.00	1,900,000.00	800,000.00
Children's Revenue Grants	3,692,688.89	-73,190.00	2,191,655.59	5,811,154.48	2,118,465.59
SEND Transport Risk Reserve	0.00	0.00	949,730.00	949,730.00	949,730.00
Education and High Needs	0.00	0.00	2,400,000.00	2,400,000.00	2,400,000.00
	<b>4,825,314.94</b>	<b>-73,190.00</b>	<b>6,341,385.59</b>	<b>11,093,510.53</b>	<b>6,268,195.59</b>
<b>The Environment</b>					0.0
Whittington Footbridge Reserve	500,000.00	0.00	0.00	500,000.00	0.00
Wildmr Landfill Dep	35,356.35	0.00	0.00	35,356.35	0.00
Waste Transformation Reserve	0.00	0.00	979,000.00	979,000.00	979,000.00
Infrastructure Project Support	0.00	0.00	2,000,000.00	2,000,000.00	2,000,000.00
E&I Revenue Grants	425,490.22	-45,430.00	0.00	380,060.22	-45,430.00
Concessionary Fares	60,507.00	0.00	0.00	60,507.00	0.00
Other Revenue Grants Unapplied	26,002.51	0.00	0.00	26,002.51	0.00
	<b>1,047,356.08</b>	<b>-45,430.00</b>	<b>2,979,000.00</b>	<b>3,980,926.08</b>	<b>2,933,570.00</b>
<b>Health and Wellbeing</b>					0.0
Public Health Grant	6,424,381.07	0.00	0.00	6,424,381.07	0.00
Adult Social Care Revenue Grants	284,488.00	-36,600.00	4,440,771.16	4,688,659.16	4,404,171.16
	<b>6,708,869.07</b>	<b>-36,600.00</b>	<b>4,440,771.16</b>	<b>11,113,040.23</b>	<b>4,404,171.16</b>
<b>Efficient Council</b>					0.0
Cororate Services Earmarked	262,254.44	0.00	0.00	262,254.44	0.00
LAA General	148,146.28	0.00	19,319.00	167,465.28	19,319.00
Transformation Reserve	2,619,783.61	-89,650.00	0.00	2,530,133.61	-89,650.00
HR Restructuring Specific Reserve	100,000.00	-418,663.48	318,663.48	0.00	-100,000.00
Digital Council	314,566.41	-431,566.41	117,000.00	0.00	-314,566.41
Schools Library Services	3,377.15	0.00	0.00	3,377.15	0.00
Children's Other Reserves	8,349.46	0.00	0.00	8,349.46	0.00
Children's Placements	735,340.07	0.00	0.00	735,340.07	0.00
Digital Reserve	3,000,000.00	0.00	0.00	3,000,000.00	0.00
Council Elections	365,000.00	0.00	109,000.00	474,000.00	109,000.00
Wildwood Sinking Fund	561,606.00	0.00	40,000.00	601,606.00	40,000.00
Coroners Major Inquests	371,644.00	0.00	0.00	371,644.00	0.00
Councillors Divisional Fund	1,158,600.91	-554,303.55	1,140,000.00	1,744,297.36	585,696.45
Fleet Surplus	71,495.43	0.00	0.00	71,495.43	0.00
Financial Services	1,551,160.74	0.00	0.00	1,551,160.74	0.00
Smarter Ways of Working	0.00	0.00	2,000,000.00	2,000,000.00	2,000,000.00
	<b>11,271,324.50</b>	<b>-1,494,183.44</b>	<b>3,743,982.48</b>	<b>13,521,123.54</b>	<b>2,249,799.04</b>
<b>Reserves Maintained for Risk</b>					
WCC Fire Insurance Fund	1,562,639.96	-275,853.95	163,884.30	1,450,670.31	-111,969.65
WCC Liability Insurance	5,764,422.92	-833,990.64	900,990.37	5,831,422.65	66,999.73
Schools Self Insurance	1,898,506.48	0.00	119,641.04	2,018,147.52	119,641.04
Business Rates Pool Risk Reserve	16,823,137.00	-26,035,174.00	23,481,987.89	14,269,950.89	-2,553,186.11
Financial Risk Reserve	6,595,330.73	0.00	1,580,953.65	8,176,284.38	1,580,953.65
	<b>32,644,037.09</b>	<b>-27,145,018.59</b>	<b>26,247,457.25</b>	<b>31,746,475.75</b>	<b>-897,561.34</b>
<b>Reserve Committed for Capital</b>					
Future Capital Investment	1,519,026.58	0.00	6,374,698.13	7,893,724.71	6,374,698.13
	<b>1,519,026.58</b>	<b>0.00</b>	<b>6,374,698.13</b>	<b>7,893,724.71</b>	<b>6,374,698.13</b>
<b>Other - Unusable</b>					
School Balances	1,399,128.62	-1,399,128.62	3,951,990.29	3,951,990.29	2,552,861.67
ICT-PFI	197,094.33	0.00	0.00	197,094.33	0.00
Bromsgrove PFI Adv	1,600,040.38	0.00	124,342.00	1,724,382.38	124,342.00
Dedicated Schools Grant	-6,226,031.99	0.00	6,226,031.99	0.00	6,226,031.99
Waste Contract - PFI Grant	7,734,852.53	-508,596.41	4,667,281.50	11,893,537.62	4,158,685.09
	<b>4,705,083.87</b>	<b>-1,907,725.03</b>	<b>14,969,645.78</b>	<b>17,767,004.62</b>	<b>13,061,920.75</b>
<b>Total</b>	<b>76,315,980.06</b>	<b>-33,248,773.60</b>	<b>71,665,324.17</b>	<b>114,732,530.63</b>	<b>38,416,550.57</b>

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## Capital Programme 2020/21 to 2023/24 Onwards

	LATEST FORECAST 2020/21	YEAR-END OUTTURN 2020/21	VARIANCE 2020/21	LATEST FORECAST 2021/22	LATEST FORECAST 2022/23	LATEST FORECAST TOTAL
TOTAL EXPENDITURE	£000	£000	£000	£000	£000	£000
CHILDREN AND FAMILIES	26,466	13,778	-12,688	2,284		28,750
OPEN FOR BUSINESS	102,556	62,142	-40,414	43,572	800	146,928
THE ENVIRONMENT	57,823	44,293	-13,530	25,601	2,143	85,567
HEALTH & WELL-BEING	3,412	270	-3,142			3,412
EFFICIENCY & TRANSFORMATION	12,553	2,752	-9,801	5,620	5,056	23,229
<b>TOTAL</b>	<b>202,810</b>	<b>123,235</b>	<b>-79,575</b>	<b>77,077</b>	<b>7,999</b>	<b>287,885</b>

Children and Families	LATEST FORECAST	YEAR-END	VARIANCE	LATEST FORECAST	LATEST FORECAST	LATEST FORECAST
	2020/21	OUTTURN	2020/21	2021/22	2022/23 and beyond	TOTAL
	£000	£000	£000	£000	£000	£000
- The Chantry High School Expansion	22	22				22
- Nunnery Wood High School Expansion	484	206	-278			484
- Christopher Whitehead High School Expansion	15	15				15
- Rushwick Primary School Expansion	130	62	-68			130
- Bengeworth 1st	139	28	-111			139
- Social Care Projects	37		-37			37
- Social Care Projects 17/18	3,323		-3,323			3,323
- Evesham St Andrews	129	7	-122			129
- Leigh and Bransford	165		-165			165
- Holyoaks Field 1st School	4,966	3,304	-1,662			4,966
- Worcester Library and History Centre (Non - PFI capital costs)	147	25	-122			147
- Redditch Library	119		-119			119
- Kidderminster Library	78		-78			78
- Flexible use of Capital Receipts	133		-133			133
- Major Schemes - Residual	54		-54			54
- Capital Maintenance	6,716		-6,716			6,716
- Basic Need	9,993	10,090	97			9,993
- School Managed Schemes (Inc. Universal Infant School meals and Devolved Formula Capital)	-368		368	368		
- EFA Extension of Provision (Early Years)	259		-259			259
- Healthy Pupil	-73		73	73		
- Special Provision	-391		391	1,843		1,452
- Libraries Minor Works	247	19	-228			247
- Composite Sums - Residual	142		-142			142
<b>TOTAL</b>	<b>26,466</b>	<b>13,778</b>	<b>-12,688</b>	<b>2,284</b>		<b>28,750</b>

	LATEST FORECAST 2020/21	YEAR-END OUTTURN 2020/21	VARIANCE 2020/21	LATEST FORECAST 2021/22	LATEST FORECAST 2022/23	LATEST FORECAST TOTAL
	£000	£000	£000	£000	£000	£000
<b>Open for Business</b>						
- Open For business	4,050		-4,050	2,500	450	7,000
- QinetiQ Land Purchase	2,000	101	-1,899			2,000
- Worcester Technology Park	9		-9	9		18
- Malvern Hills Science Park Scheme	321	121	-200			321
- Local Broadband Plan Phase 1	3,310	1	-3,309			3,310
- Local Broadband Plan Phase 3	3,386	1,788	-1,598			3,386
- A4440 WSLR Phase 4	20,954	17,784	-3,170	18,809		39,762
- A38 Bromsgrove	8,246	6,121	-2,126	3,097		11,343
- Kidderminster Churchfields	2,909	2,430	-479	129		3,038
- Pershore Northern Infrastructure (including up to £5.1m from HIIF)	5,758	3,277	-2,481	4,419		10,177
- Capital Skills Programme	222	222	-0			222
- Southern Link Dualling Phase 3	1,768	1,147	-621			1,768
- Southern Link Dualling Phase 3 - Broomhall Way Footbridge	4,568	4,853	285			4,568
- Getting Building Fund	6,000	1,736	-4,264	6,000		12,000
- Worcester Parkway Regional Interchange	1,604	2,182	578			1,604
- Kidderminster Rail Station Enhancement	941	1,199	258			941
- Worcester Shrub Hill Industrial Estate	12,000	9,672	-2,328	3,000		15,000
- Next Generation Economic Game Changer Sites	21,280	8,598	-12,682	4,900	350	26,530
- Kidderminster Town Centre Phase 2	8	17	9			8
- Redditch Town Centre	0		-0			0
- Worcester City Centre	412	31	-382			412
- Malvern Public Realm	39		-39			39
- ERDF Capital Projects	2,769	861	-1,908	709		3,478
<b>TOTAL</b>	<b>102,556</b>	<b>62,142</b>	<b>-40,414</b>	<b>43,572</b>	<b>800</b>	<b>146,928</b>
<b>The Environment</b>						
<b>Local Transport Plan:</b>						
- Structural Carriageway/Bridgeworks	33,868	33,349	-519	11,287		45,155
- Integrated Transport	2,893	196	-2,697	213		3,106
<b>Major Schemes: Infrastructure</b>						
- Walk Cycle Route to Worc Parkway	67	77	10			67
- Green Deal Communities	3		-3			3
- Investment Initiatives to Support Business and /or Green Technology	1,172		-1,172	151		1,323
- Energy Efficiency - Spend to Save	462		-462			462
- Warm Homes Fund	234	51	-183	196	23	453
- Eastham Bridge	18		-18			18
- Pavement Improvement Programme	4,086	2,232	-1,854	4,000		8,086
- Cutting Congestion Programme	6,109	3,095	-3,014			6,109
- Highway Flood Mitigation Measures	584	90	-494	2,500		3,084
- Bewdley Flood Mitigation Measures				500		500
- Worcester Transport Strategy	443	6	-437			443
- Hoobrook Link Road - Pinch Points	27	2	-25			27
- Public Rights of Way	319	283	-36	800		1,119
- Worcester Woods Paths Project	100	31	-69			100
- Zebra Crossings Package	579	396	-183			579
- Covid 19 Emergency Active Travel Fund	616	64	-552			616
- Highways Capital Maintenance Costs				3,000	2,000	5,000
- Highways Strategic Investment Fund	843	993	150	454	120	1,417
- Completion of Residual Schemes	31	-195	-226			31
- Vehicle Replacement Programme	1,704	1,391	-313			1,704
- Street Column Replacement Programme	3,665	2,232	-1,432	2,500		6,165
<b>TOTAL</b>	<b>57,823</b>	<b>44,293</b>	<b>-13,530</b>	<b>25,601</b>	<b>2,143</b>	<b>85,567</b>

	LATEST FORECAST 2020/21	YEAR-END OUTTURN 2020/21	VARIANCE 2020/21	LATEST FORECAST 2021/22	LATEST FORECAST 2022/23	LATEST FORECAST TOTAL
Health and Well-Being	£000	£000	£000	£000	£000	£000
<b>Major Schemes:</b>						
- Capital Investment in Community Capacity/ Specialised Housing	2,485	-182	-2,667			2,485
- Care Act Capital	61		-61			61
- IT Personalisation		447	447			
- Capital funding utilisation	336		-336			336
- A&CS Minor Works	271	5	-266			271
- Social Care Performance IT Enhancement	259		-259			259
<b>TOTAL</b>	<b>3,412</b>	<b>270</b>	<b>-3,142</b>			<b>3,412</b>

	LATEST FORECAST 2020/21	YEAR-END OUTTURN 2020/21	VARIANCE 2020/21	LATEST FORECAST 2021/22	LATEST FORECAST 2022/23	LATEST FORECAST TOTAL
Efficiency and Transformation	£000	£000	£000	£000	£000	£000
<b>Major Schemes:</b>						
- Digital Strategy	5,255	1,812	-3,443	2,070	1,506	8,831
- Repair and Maintenance of a Longer Term Benefit (And BUoP)	2,877	939	-1,938			2,877
- Stourport Library/ Coroners Relocation to Civic Centre	18		-18			18
- Capitalised Transformation Costs	4,403		-4,403	3,550	3,550	11,503
<b>TOTAL</b>	<b>12,553</b>	<b>2,752</b>	<b>-9,801</b>	<b>5,620</b>	<b>5,056</b>	<b>23,229</b>