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8 July 2015

To: All Councillors

As a Member or Substitute of the **Governance and Resource Committee**, please treat this as your summons to attend the meeting on **Thursday 16 July 2015 at 6.00pm in the Council Chamber, Town Hall, Matlock.**

Yours sincerely

A handwritten signature in black ink, appearing to be "Sandra Lamb". The signature is fluid and cursive, with a large initial 'S'.

Sandra Lamb
Head of Corporate Services

AGENDA

1. APOLOGIES/SUBSTITUTES

Please advise Democratic Services on 01629 761133 or e-mail committee@derbyshiredales.gov.uk of any apologies for absence and substitute arrangements.

2. PUBLIC PARTICIPATION

To enable members of the public to ask questions, express views or present petitions, **IF NOTICE HAS BEEN GIVEN**, (by telephone, in writing or by electronic mail) **BY NO LATER THAN 12 NOON OF THE WORKING DAY PRECEDING THE MEETING.**

3. INTERESTS

Members are required to declare the existence and nature of any interests they may have in subsequent agenda items in accordance with the District Council's Code of Conduct. Those interests are matters that relate to money or that which can be valued in money, affecting the Member her/his partner, extended family and close friends.

Interests that become apparent at a later stage in the proceedings may be declared at that time.

4. QUESTIONS PURSUANT TO RULE OF PROCEDURE NUMBER 15

To answer questions from Members who have given the appropriate notice.

Page No.

5. APPRENTICESHIPS PROGRAMME

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To consider the progress of the District Council's Apprenticeship Scheme, which provides valuable employment experience and training, and to seek approval for the continuation of the programme.

6. STRUCTURAL DAMAGE TO PUBLIC CONVENIENCES AT MEMORIAL GARDENS, MATLOCK BATH

4 - 10

To consider the available options to remedy structural damage to the public conveniences at Memorial Gardens, Matlock Bath and to determine which options should be taken forward for public consultation.

7. CORPORATE CONSULTATION AND ENGAGEMENT PLAN 2015 – 2016

11 - 25

To consider approval of the Corporate Consultation and Engagement Plan 2015/16 and a proposal that this Committee receive reports of consultation and engagement activities in future.

8. INTERNAL AUDIT REPORTS CONCLUDED UNDER THE 2014/15 OPERATIONAL AUDIT PLAN AND FOLLOW UP OF PREVIOUS RECOMMENDATIONS

26 - 46

To consider the internal audit reports produced in respect of the 2014/2015 Internal Audit Plan and progress made by management in implementing agreed audit recommendations made during 2011/2012 – 2014/15 audits.

9. INTERNAL AUDIT ANNUAL REPORT 2014/15

47 - 60

To consider

- a summary of the internal work undertaken from which the opinion on the internal control environment is derived
- an opinion on the overall adequacy and effectiveness of the Council's control environment including any qualifications to that opinion
- any issues that required inclusion in the Annual Governance Statement
- a comparison of work actually undertaken with that which was planned and summarise performance
- compliance with the Public Sector Internal Audit Standards (PSIAS)
- progress against the internal audit improvement plan
- the results of the quality assurance programme
- Confirm the organisational independence of internal audit.
- Review the performance of the Internal Audit Consortium against the current Internal Audit Charter.

10. INFORMATION GOVERNANCE FRAMEWORK & STRATEGY 2015 – 2018

61 - 78

To consider adoption of the Derbyshire Dales District Council Information Governance Framework and Strategy 2015 - 18

- 11. REVENUES AND BENEFITS SERVICES AND INVOICE PROCESSING CONTRACT - PERFORMANCE REPORT 79 - 82**
To consider performance under the Revenues and Invoice Processing Contract since the service was transferred to Arvato on 1st June 2013
- 12. PROMOTING EQUALITY: EQUALITY PLAN 2015 - 2016 83 - 101**
To consider progress against the actions set out in the District Council's Equality Plan 2014-15 and approval for the Equality Plan 2015 - 2016
- 13. RISK MANAGEMENT – CHIEF EXECUTIVE'S ANNUAL REPORT 102 - 103**
To consider the Chief Executive's annual report on the Council's Risk Management arrangements and how Key Strategic Risks are being managed. **(Appendix published separately)**
- 14. JOINT ICT SERVICE STRATEGY 2014-2017 AND DDDC ICT STRATEGY 2015-2018 104 - 107**
To consider adoption of the Joint ICT Service Strategy 2014-2017 and the Derbyshire Dales District Council ICT Strategy 2015-2018. Also to consider making a request to Council to approve the funding for the ICT Investment Plan from the Technology Renewals Reserve and the Invest to Save Reserve. **(Appendix published separately)**
- 15. PROPOSAL TO CLOSE THE TOWN HALL BETWEEN CHRISTMAS AND NEW YEAR 108 - 112**
To consider a proposal that the Town Hall is closed on the 3 working days between Christmas and New Year with effect from Christmas 2015.
- 16. PROPOSAL TO END WEEKLY PAY AND FOR ALL STAFF TO BE PAID MONTHLY 113 - 117**
To consider a proposal to end the weekly payroll and for all staff to be paid monthly
- 17. REFERRED ITEMS 118 - 119**
To consider recommendations from the Joint Consultative Group relating to the Employee Code of Conduct and Sickness Absence Outturn 2014/15. **(Appendix published separately).**
- 18. JOINT CONSULTATIVE GROUP MINUTES**
To receive the minutes of the Joint Consultative Group meeting held on 23 June 2015.

Members of the Committee - Councillors Deborah Botham, Albert Catt, Phil Chell, Steve Flitter, Chris Furness (Vice Chair), Alyson Hill, Neil Horton, Angus Jenkins, Tony Millward BEM, Jean Monks, Garry Purdy, Irene Ratcliffe, Lewis Rose, Mark Salt, Jacque Stevens (Chairman), Colin Swindell, John Tibenham

Substitutes – Councillors Jason Atkin, Richard Bright, Jennifer Bower, Sue Bull, Sue Burfoot, David Chapman, Tom Donnelly, Ann Elliott, Helen Froggatt, Richard FitzHerbert, Susan Hobson, Vicky Massey, Joyce Pawley, Mike Ratcliffe, Philippa Tilbrook, Jo Wild

Report of the Head of Housing

APPRENTICESHIPS PROGRAMME

SUMMARY

The District Council has an established and successful Apprenticeship Scheme providing valuable employment experience and training. This report outlines the progress to date and seeks Members approval to continue the programme.

RECOMMENDATION

That the Apprenticeship programme running to 2017/18 be noted.

WARDS AFFECTED

All wards

STRATEGIC LINK

The Apprenticeship Scheme supports the District Council's Vision of promoting high wage high skill jobs by enabling young people to gain the skills and qualifications required to establish successful careers. The scheme also supports the Council's Values which includes valuing its employees.

1 BACKGROUND

- 1.1 The initial Apprenticeship programme began in 2010 and was based in Leisure Services. Non-recurrent grant funding had been secured from Derbyshire County Council by the Community Housing Team to support young adults in to job training and employment. Leisure Services represented a good place to start the Apprenticeship Scheme because of the relatively consistent intake of new staff, the demographic profile of the service, access to suitable training programmes and the potential to support successful apprentices in to permanent employment.
- 1.2 As the Apprenticeship Scheme progressed, the National picture concerning youth unemployment encouraged heads of service to identify new sources of funding in order to widen the opportunities available to local people. Through a combination of efficiency savings, restructuring and further external grant funding, a modest programme has been developed to a point where 9 apprentices are now in post.

2 REPORT

- 2.1 The Apprenticeship Programme has seen over 20 apprentices employed by the District Council. Typically the majority are under 24 and drawn from the local area. Many are recent school leavers who have adapted very well to work within the District Council. In addition to Leisure the following services have had or currently employ an apprentice; Housing, Estates and Facilities, Building Control, Accountancy and Exchequer, Audit, Clean and Green, Licensing, ICT, Waste and Recycling and

Vehicle Workshop.

- 2.2 Several of the current crop of apprentices will be attending Committee and a short video of interviews of several apprentices will also be played for Members of the

2.4	Year	2.5	Number of posts	2.6	Service contribution	2.7	Apprenticeship budget contribution
2.8	2014/15	2.9	15	2.10	£24,958	2.11	£38,485
2.12	2015/16	2.13	16	2.14	£54,377	2.15	£56,272
2.16	2016/17	2.17	15	2.18	£54,945	2.19	£44,845
2.20	2017/18	2.21	6	2.22	£7,548	2.23	£7,518

Committee.

- 2.3 The table below shows the current 4 year programme for the Apprenticeship Scheme, running from 2014/15 to 2017/18. The drop from 15 posts to 6 posts in 2017/18 reflects the fact that several of the two year apprenticeships will be coming to an end. There is also a balance of £43,654 remaining in the Apprenticeship Budget to support new posts which will increase the actual number of posts in 2017/18.
- 2.4 The Apprenticeship Scheme operated by the District Council is fundamentally about inspiring people in to work and equipping them with the skills and training to succeed in the workplace, either within the District Council, should a vacancy arise or with another employer. The Apprenticeship Scheme has had some very real success with 6 apprentices taking up permanent posts within the Council, one has already taken the first steps into junior management within the Leisure Service. Many are gaining valuable qualifications including National Vocational Qualification (NVQs) at Levels 2 and 3 with progression to pre university level. Such courses include Construction and Built Environment, Business Administration, Information Technology, Association of Accountancy Technicians and Automotive Engineering. All of the current posts are receiving some form of vocational training. One apprentice from within the Leisure Service gained national recognition for her achievements within the service.
- 2.5 Apprenticeships will continue to be a central policy initiative for Government and employers will continue to be encouraged to support schemes which promote job training and employment, particularly in relation to younger people. The District Council's community leadership role will be further enhanced through its Apprenticeship Scheme, raising awareness with employers and demonstrating the benefits of apprenticeships. The Peak District Partnership and Business Peak District will also continue to encourage locally employers to take on higher level apprenticeships.
- 2.6 Heads of Service will be developing proposals for new apprenticeship posts for the period up to 2017/18, utilising the balance of the available funding (£43,654) and potential savings achieved within services. Further external funding may still be obtained but the position on this will be not be known until later in the financial year.
- 2.7 A future report will be brought to back to Committee setting out proposals for the Apprenticeship Scheme beyond 2017/18.

3 RISK ASSESSMENT

Legal

- 3.1 There are no legal considerations arising from the report. The apprentices have a contract to cover their time with us and are treated in all respects as an employee of the Council. The legal risk is therefore low.

Financial

- 3.2 The apprentices programme set out in the body of the report can be financed from grants. The financial risk is, therefore, assessed as low.

4 OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

5 CONTACT INFORMATION

Robert Cogings, Head of Housing, email robert.cogings@derbyshiredales.gov.uk Tel 01629 761354

6 BACKGROUND PAPERS

none

7 ATTACHMENTS

none

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE

16th July 2015

Report of the Head of Resources

STRUCTURAL DAMAGE TO PUBLIC CONVENIENCES AT MEMORIAL GARDENS, MATLOCK BATH

SUMMARY

This report seeks members' determination of the options that should be taken forward for public consultation over the summer.

RECOMMENDATIONS

1. That members' determine the options that should be taken forward for public consultation over the summer;
2. That a further report, which will feed back the results of the public consultation, be brought to a committee or Council meeting during the Autumn.

WARDS AFFECTED

Masson Ward

STRATEGIC LINK

This report links with the Council's aim to 'improve the quality of life' within the Derbyshire Dales.

1 BACKGROUND

- 1.1 As part of a programme of condition surveys for all the Council's key buildings, a survey took place at the public conveniences in Memorial Gardens, Matlock Bath. Significant structural defects were identified during the survey affecting the external walls and roof structure of the property. The public conveniences were immediately closed on the grounds of public safety, however temporary toilets were installed in March to provide an alternative facility before the tourist season commenced. These will remain in place until decisions are made on the way forward.
- 1.2 It was reported to the Environment Committee in April 2015 that a structural engineer's report had been received. The engineer's report outlined the extent of the damage and shows that the estimated cost of repairs is £176,167.50. The structure is unsafe due to:-
 - The wall-plates on all elevations not being strapped down and being unsupported by sufficient masonry;
 - The walls not being tied / strapped to the roof structure in any way which means that they are effectively 4.1m high (maximum) freestanding walls

as no return walls exist within the roof void;

- Large cracks and untied sections of wall to the North West corner returns around the purlin ends which carry the roof over the glazed male and female toilet entrances;
- Cracking and bulging in the masonry observed at high level on the East elevation.

The sum of £176,167.50 is an estimate for the purposes of this report; if this is the preferred option, a full procurement (tender) exercise will be required. Officers have been working with Derbyshire County Council to substantiate the estimated costs and to investigate further issues, including works requested by the Environment Agency to stabilise the river bank (the estimated costs include a sum of £25,000 for this).

- 1.3 The April report stated that as the estimated cost of repairs was significant at £176,167.50, officers would appraise other options to ensure that the best solution is found and value for money is achieved. This report provides members with further information on the options that were identified in the April report, as well additional options that have subsequently been suggested.
- 1.4 The Council has a legal duty to consult on any major change in the provision of services to the public.

2 OPTIONS APPRAISAL

The suggested options that will be considered for public consultation include:

- 2.1 Repair the building, as indicated in the engineer's report;
- 2.2 Demolish the building, landscape the site and replace it with alternative facilities (subject to planning and other consents), as below:
- (a) a smaller, modern facility to include access for the disabled and baby change facilities;
 - (b) new facilities in the former station building (see paragraph 2.4 below)
 - (c) facilities provided by traders under a Community Toilets Scheme (see paragraph 2.5 below)
 - (d) new facilities in the former station building (see paragraph 2.4 below), in combination with facilities provided by traders under a Community Toilets Scheme (see paragraph 2.5 below)
- 2.3 Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with alternative facilities (subject to planning and other consents), as below:
- (a) a smaller, modern facility to include access for the disabled and baby change facilities;
 - (b) new facilities in the former station building (see paragraph 2.4 below)
 - (c) facilities provided by traders under a Community Toilets Scheme (see

paragraph 2.5 below)

(d) new facilities in the former station building (see paragraph 2.4 below), in combination with facilities provided by traders under a Community Toilets Scheme (see paragraph 2.5 below)

- 2.4 The former station building in Matlock Bath has been identified as a site that might be appropriate for alternative public conveniences, as it is next to the railway and car park where many visitors arrive / depart. This building is owned by the Council but is currently leased to Derbyshire Wildlife Trust (DWT). The Council's Chief Executive and other officers met with DWT's Chief Executive to explore this option. DWT's Chief Executive confirmed that part of the building is currently unused and, subject to DWT board approval, DWT might be willing to allow this part of the building to be converted into public conveniences. The Council has subsequently sought a surveyor's report and indicative costs. These indicative costs are set out in Appendix 1 to this report. A verbal update will be given at the meeting, when a more accurate costing should be available.
- 2.5 Another option that has been investigated is a Community Toilets Scheme, where local businesses are paid a grant in return for allowing members of the public to use their toilets during opening hours. A proposed scheme, based on one that is currently operated by Amber Valley Borough Council, is set out in Appendix 2. A preliminary survey of businesses in Matlock Bath identified two businesses that would definitely be interested in participating and four that expressed a possible interest.
- 2.6 Each of these options is shown in Appendix 1, with indicative costs, advantages, disadvantages and risk ratings.

3 OTHER CONSIDERATIONS

- 3.1 In evaluating the options, consideration needs to be given to the cost of the works and the method of procurement to ensure best value for the District Council. The ongoing cost of hiring / buying temporary facilities also needs to be considered.
- 3.2 The timescale for the proposed works needs to be considered to take account of the lead time for procurement, the requirement to obtain statutory consents from the Environment Agency and others and, notwithstanding statutory rights, the impact on the adjoining property of having scaffolding on their land (public house beer garden) during the peak tourist season.
- 3.3 The building is situated in a Conservation Area and any repair works to the building will need to take account of this. Anything other than repair of the building using matching materials is likely to require planning consent and as such, any alternative options need to take account of their visual impact.
- 3.4 The current building has level access and includes male, female and disabled toilet facilities and is considered to be an accessible building to people with disabilities. Any option other than the repair of the existing building needs to ensure that such standards are maintained in any replacement facility.

4 CONSULTATION

- 4.1 Local consultation is planned to take place over the summer. The consultation will include ward members, Matlock Bath Parish Council and local visitors and businesses. The outcome of the consultation exercise will need to be considered

before any final decision is taken.

5 RISK ASSESSMENT

Legal

The closure of the current toilet block is to mitigate the risk to public safety. The report outlines the potential options open to the Council in procurement terms which will need to address the Council's Contract Standing Orders. The legal risk currently is currently assessed as low and will be reviewed following public consultation.

Financial

If members agree to carry out public consultation on these options, there are no financial risks arising directly from this report and the risk is assessed as 'low'. A further report will be presented to a future committee or Council meeting, which will inform members of the results of the public consultation and set out the financial risks of the preferred option.

If members choose to proceed with the repairs identified in the engineer's report, a tender exercise will be required. There is no provision for this project in the current capital programme. Any requirement will have to be financed from the Capital Programme Reserve if this is the option Members decide on once appraised of all the options open to them. The financial risk of this course of action is assessed as 'high'.

6 OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

7 CONTACT INFORMATION

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8 BACKGROUND PAPERS

None

9 ATTACHMENTS

Appendix 1 – Options to address the structural damage to the public conveniences / shelter at the Memorial Gardens, Matlock Bath.

Appendix 2 – Proposed Community Toilets Scheme

BACK TO AGENDA

Options to address the structural damage to the public conveniences / shelter at the Memorial Gardens, Matlock Bath

Ref.	Description	Indicative cost	Advantages	Disadvantages	Risk Rating
1.	Repair the building, as indicated in the engineer's report	£176,000	Retains existing provision and important local building	No significant disadvantages.	Low
2.	Demolish the building, landscape the site and replace it with alternative facilities (subject to planning consent), as below:			Loss of important local building; Facilities smaller than existing.	Medium
	(a) A smaller, modern facility to include access for the disabled and baby change facilities, subject to planning consent;	£181,000	New modern facilities provided.		Medium
	(b) New facilities in the former station building	£215,000	New modern facilities provided.	Facilities smaller than existing.	Medium
	(c) Facilities provided by traders under the Council's Incentive Scheme	£84,100	More flexible.	Less convenient	High
	(d) New facilities in the former station building plus facilities provided by traders under the Council's Incentive Scheme	£234,100	New modern facilities provided.	High cost	Medium
3.	Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with alternative facilities (subject to planning consent), as below:				
	(a) A smaller, modern facility to include access for the disabled and baby change facilities, subject to planning consent;	£397,200	Retains important local building and modern facilities	High cost; Facilities smaller than existing.	High
	(b) New facilities in the former station building	£293,200	New modern facilities provided	Facilities smaller than existing.	Medium
	(c) Facilities provided by traders under the Council's Incentive Scheme	£162,300	More flexible.	Less convenient.	High
	(d) New facilities in the former station building plus facilities provided by traders under the Council's Incentive Scheme	£312,300	New modern facilities provided.	High cost	High

PROPOSED COMMUNITY TOILETS SCHEME

This paper sets out the way in which a Community Toilets Scheme might be run as part of the provision of alternative facilities to the Memorial Gardens Public Conveniences in Matlock Bath. It is based on scheme that is currently operated by Amber Valley Borough Council. A preliminary survey of businesses in Matlock Bath identified two businesses that would definitely be interested in participating and four that expressed a possible interest.

Under a Community Toilets Scheme (CTS) members of the public are able to access toilets in a range of local businesses during their opening hours. It is not necessary for users of the toilets to purchase goods or services from the businesses. Those businesses that participate in the scheme agree to provide toilets that are clean, safe, hygienic and that are kept well stocked. For this they receive an annual payment of £600 plus VAT and in addition the Council maintains public liability insurance.

In seeking to identify appropriate local businesses the following parameters would be adopted in order to minimise disruption to local residents and visitors.

At least 50% of the businesses participating must provide suitable provision for the disabled.

Wherever possible, the businesses should be located within 100m of the Memorial Gardens in Matlock Bath

A fee of £600+VAT per business per annum is adopted.

Highly visible signage would be provided to be displayed by participating businesses and to direct residents to the CTS provision.

Given that there are likely to be a number of businesses in suitable locations, but where the toilets may not be of a high enough standard, consideration could be given to establishing a grant scheme particularly during the early years. This would enable businesses to apply for a grant to upgrade their toilet provision for which they would provide an undertaking to participate in the scheme for at least three years, or repay the grant in full. A figure of £15,000 would enable six businesses to apply for grants of up to £2,500.

Budgetary provision would also need to be made available for signage and publicity to ensure a high level of knowledge and participation amongst local residents and visitors to the area. It is anticipated that £600 would be required for this.

It would first be necessary to identify suitable local businesses. Once agreement has been reached with the identified businesses then it would be necessary to publicise the scheme through posters, press releases and appropriate signage etc. Then following a suitable period of operation of up to six months a review would be conducted to ascertain the overall success of the scheme as well as any pitfalls to be avoided.

Estimated Costings

If the parameters outlined above were adopted, based on 6 businesses participating in the CTS, the following might be incurred:

Grants to improve facilities (one-off)	£15,000
Signage and Publicity (one-off)	£500
Annual incentive payments (6 @ £600)	£3,600
Total year one costs	£19,100
Annual costs year 2 onwards	£3,600

GOVERNANCE & RESOURCES COMMITTEE
16 JULY 2015

Report of the Head of Regeneration & Policy

CORPORATE CONSULTATION AND ENGAGEMENT PLAN 2015-2016

SUMMARY

The District Council produces an annual Consultation and Engagement Plan as an appendix to the Consultation and Engagement Strategy 2014-2019. This report sets out for Members consideration and approval the District Council's Corporate Consultation and Engagement Plan for 2015-2016.

RECOMMENDATION

1. That the Corporate Consultation and Engagement Plan 2015/16 be approved.
2. That this Committee receive reports of consultation and engagement activities in future

WARDS AFFECTED

All

STRATEGIC LINK

Implementation of the Corporate Consultation and Engagement Plan helps the District Council meet its statutory Duty to Consult. It also supports the Council's corporate aims to 'improve quality of life' and 'provide excellent services', and its value of 'listening and responding'.

1 BACKGROUND

- 1.1 The current Consultation and Engagement Strategy 2014-2019 was agreed in March 2014. The strategy describes the purpose, principles and priorities underpinning consultation and engagement activity undertaken by the District Council.
- 1.2 The strategy refers to an annually updated corporate programme of consultation. The Corporate Consultation and Engagement Plan sets out the activity planned for the coming year in line with the strategy's objectives. Guidance on consultation and engagement will continue to be made available to support implementation of the strategy.

2 CONSULTATION AND ENGAGEMENT PLAN 2014/15

2.1 The Consultation and Engagement Plan 2014/15 provided a structured framework for the District Council's consultation and engagement activities during the last financial year. Consultation and Engagement activity of note during 2014/15 includes:

- The 'Budget Conversation' which asked local residents for what they thought should be the Council's spending priorities, through a questionnaire survey of Citizen Panel members and other people registered as having an interest in being consulted on Council issues. The results of this were reported to Council in November 2014.
- Consultations that have taken place with Council employees on draft policies e.g. sickness absence management as well as learning and development.
- User satisfaction surveys with the waste and refuse service have been undertaken in 2014. The results will be reported to committee in due course.
- The first tranche of business forums took place in March 2015 on the theme of 'promoting business growth'. 65 business representatives attended and the events were well received.

3 CONSULTATION AND ENGAGEMENT PLAN 2015/16

3.1 The proposed Consultation and Engagement Plan for 2015/16 is set out in Appendix 1 for Members approval. This sets out a number of key consultation tasks to be undertaken during the forthcoming financial year:

- A consultation on the Council's new corporate plan to establish the priorities of the Council until 2019.
- The Local Plan consultation which will include consultations on options for housing and employment land allocations.
- The Business Forums - the next tranche of these new 6 monthly forums to engage the business community will take place in October 2015.
- Work through the Community Engagement and Development hub will be an important new focus of consultation and engagement work in 2015/16.

3.2 To ensure greater integration of consultation and equalities activities the format of the Plan has been modified this year to identify if an Equality Impact Assessment is required for each task.

3.3 An element of the Member training scheduled for July 2015 will include awareness raising on consultation and engagement along with equalities training.

4 RISK ASSESSMENT

4.1 Legal Risk

The District Council has a statutory Duty to Consult. Updating and implementing the Consultation and Engagement Plan helps meet this Duty.

Proper consultation with affected communities and groups will also ensure that the District Council is able to meet the requirements of the Equality Duty (S149 of the Equality Act 2010) in ensuring that proper regard is given to the adverse impact of

any decision on a particular group and a proportionate decision is taken based on this information.

As challenges on these matters are becoming more frequent nationally, the legal risk is medium.

4.2 Financial

The resources required to deliver the activities identified within the updated Corporate Consultation and Engagement Plan, including officer time, are to be accommodated within service budgets. Therefore, there are no additional budgetary implications, and the financial risk is low.

4.3 Corporate

Implementing the Consultation and Engagement Strategy is scored 8 in the District Council's Risk Register i.e. medium risk.

5. OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

CONTACT INFORMATION

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BACKGROUND PAPERS

The Report on the Consultation and Engagement Strategy 2014-2019 approved by Corporate Committee on 20 March 2014.

The Consultation and Engagement Strategy 2014-2019
http://www.derbyshiredales.gov.uk/images/documents/C/Consultation_and_Engagement_Strategy_2014-2019.pdf

**CORPORATE CONSULTATION AND ENGAGEMENT PLAN 2015/16
FINAL VERSION**

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
Environmental Services						
May and November 2015	Customer satisfaction survey with the waste and recycling service (informing performance indicator WM2)	Telephone survey by Serco	Sample of 400 local residents	N	Heidi McDougall	Surveys have been completed in November 2014 and May 2015.
June 2015	Review of Bring Sites	Survey (if applicable), information provision on alternatives to bring sites and business case for service changes. Subscribers of waste newsletter.	Local residents in particular those using bring sites	Y	Heidi McDougall	Use of bring sites is covered in the above survey. Need to consult Parish and Town Councils.
September 2015	Public conveniences 2 nd review	Website, Parish & Town Councils; Dalesmatters; subscribers	Parish Councils Local residents Tourists	Y	Heidi McDougall	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
		of newsletter.				
September 2015	Charging for replacement wheeled bins	Build into Serco survey in November, subscribers of waste newsletter; website	Local residents	Y	Heidi McDougall	Discussion with Serco about including some questions in the November survey.
Regulatory Services						
April 2015 onwards (part of the service review)	Satisfaction with the development control/ management service	On line survey	Service users	N	Tim Braund/Jon Bradbury	
June 2015?	Health & Wellbeing strategy	External consultation on any proposed changes to services resulting from the strategies' gap analysis.	Dependent on affected services, likely to include partner organisations.	Y	Tim Braund	
After the de-regulation legislation is passed by central government	Taxi licensing policy review (minor changes anticipated)	Focus groups and user survey	Disabled user groups Ethnic minority General public Taxi licence holders	Y	Eileen Tierney	
March 2016	Discretionary Grants Review	Web based questionnaire	Service users	Y	Tim Braund/Nicola Wildgoose	In discussion with CVS

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
		in partnership with CVS				
March 2016	Service review Licensing	Internal and external challenge	Critical friend, service users, key partners	Y	Eileen Tierney/Tim Braund	
March 2016	Service review Environmental Health	To be determined in Review	Service users and key partners	Y	Amanda Goodwill/Tim Braund	
On going beyond 2015/16	Service Review- Development Management	Web based	Service users	Y	Jon Bradbury/Tim Braund	
Housing						
March 2015	Complete 3 parish housing needs surveys (HSS11)	Postcard to each household in Parish asking them to complete online survey/ telephone. Publicity of survey via Parish newsletter, Parish meetings/ community events.	Residents in the Parish	Y	Rob Cogings/ Isobel Frenzel	
March 2015	Produce 4 group assessments	Dependent on target group	Not determined yet	Y	Rob Cogings	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
	of the housing needs of vulnerable groups (HSS28)					
Dec 2015	Review and update Homelessness Strategy (HAD1)	Web based campaign to complete online survey, sample of people on the 'home options' database and stakeholder conference	Support agencies and individuals who are homeless/ at risk of becoming homeless	Y	Rob Cogings/ Simon Beynon	
September 2014- June 2015	Service Review- Housing	Critical friend (CVS), benchmarking, internal discussion groups, management modelling	Internal and external challenge through CVS	Y	Rob Cogins	
Resources						
July-August 2015	Public conveniences at Matlock Bath Memorial Gardens	Questionnaire survey and face to face engagement with Parish Council and local business	Visitors, Parish Council, local residents and businesses	Y	Karen Henriksen	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
September 2015 (if required)	Council Tax support scheme 2016/17 NB DDDC has no current plans to change the scheme. Consultation will only take place if significant changes are proposed.	To be decided if consultation is required	Working age benefit claimants (pensioners exempt)	N/A EIA will only be necessary if any changes are proposed	Karen Henriksen	
November 2015	Annual ICT internal satisfaction survey	Online survey	Staff at DDDC	N	Nick Blaney	
January-February 2016	NNDR Budget consultation	Face to face presentation at meetings or electronic/ paper survey	Business Forums	N	Karen Henriksen/ Karen Ludditt/ Steve Capes	
October 2015	Customer satisfaction survey of Council Tax and Housing Benefits claimants	Telephone or postal survey (by Arvato)	Council Tax and Housing Benefit claimants	N	Karen Henriksen/ Arvato	
Community Development						
Up to June	Leisure	The appointed	DDDC Heads	Y	Ashley Watts	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
2015	Review (stage 1)	consultants are talking to key partner stakeholders and are analysing current service performance	of service, educational establishments, Derbyshire Sport, Public Health			
April 2015	Markets Action Plan	Face to face engagement with market traders to establish operational efficiencies at an early stage. Consultation with the public on publicity and promotion at a later stage.	Market traders, the general public and individuals interested in running the markets.	N/A	Ashley Watts	
April 2015	Review of events strategy	TBC	Event organisers Public services involved in supporting events, Local residents, businesses and visitors	Y	Ashley Watts/ Nicola Wildgoose	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
April 2015? Dependent upon which Council services emerge as feasible for community engagement (currently Sports Pavilion at Bakewell, Ashbourne Recreation Ground and public toilets at Arts Corner, Cromford).	Community Engagement Hub projects	Dependent on the target group- an entry on the engagement plan is needed for each specific project	Dependent on the project	EIA may be needed for specific projects	Ashley Watts and the Community Engagement Hub (led by Rob Wilks)	
April- June 2015	Walking for Health initiative consultation to inform Big Lottery Fund 'Every step counts' pilot at Bakewell surgery	TBC	Users of Bakewell surgery?	N	Howard Griffiths	
June 2015 and ongoing	Market research into	Various- to be determined	Local residents,	N	The new Marketing Officer post in Leisure	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
	customer profiles and customer satisfaction with Leisure Services		existing and potential users			
July 2015	Leisure Review (stage 2- if required) Consultation on the recommended model of leisure service delivery	Dependent on the recommended model of delivery	Dependent on the recommended model of delivery	Y	Ashley Watts	
July 2015 (7, 21 and 28 July 2015)	Area Community Forums	Public meeting	Local residents Local businesses Service users, Partners		All/ Ros Hession	
October 2015 (14, 20 and 28 October 2015)	Area Community Forums	Public meeting	Local residents Local businesses Service users, Partners	N	All/ Ros Hession	
February 2015 (3, 17 and 23 February 2016)	Area Community Forums	Public meeting	Local residents Local businesses Service users, Partners	N	All/ Ros Hession	
TBC	Consultation on mobile	Local school children	Residents of rural areas of	EIA on any changes to	Ash Watts	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
	leisure facilities in rural areas	(QEGS) to act as interviewers and consult young people regarding leisure facilities they would like to use.	the District	service resulting from consultation		
TBC	Performance indicators CRI8 & CRI9 % people feeling safe outside during the day and night	Survey	Local residents	N	Karen Cooper	
Regeneration & Policy						
March – April 2015	Visitor Economy Plan	Circulation of draft document (a sub set of the Economic Development Plan).	Partner organisations	Y-completed	Giles Dann	Comments received reported to April Council and incorporated into final plan. Plan published on District Council website.
March 2015 and October 2015	Business Engagement Programme-business forums	Six monthly meetings of 2 hours, each on a specific theme. Providing local business with information	Local businesses with growth plans	N/A	Giles Dann	March 2015 meetings held on the theme of 'promoting business growth'. 65 business representatives attended and the events were well received

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
		and providing them with a chance to ask questions of the Council and partner organisations.				
March 2015 and March 2016	Annual Business Survey-themed on 'sites and premises' for 2015	On-line survey	Local businesses	N/A	Giles Dann	2015 sites and premises survey distributed to 347 businesses in March 2015. 105 responses received. Results being analysed.
July-September 2015	Corporate Plan-consultation on corporate priorities which will feed into the Council's budget planning process	Postal survey to residents, workshops with SMT, Members and residents.	Local residents, service users, visitors and partners. Councillors and staff. Including 3 consultations with hard to reach groups (young people, disabled people and business)	Y	Steve Capes/ Karen Henriksen/ Mike Hase	Consultation proposal approved by CLT.
Feb/ March 2016	Joint surveys with Peak District	TBC	Tourism businesses, visitors and	N/A	Giles Dann	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
	partners to inform future Visitor Economy Plan actions		non visitors			
7 th May 2015	Wirksworth Neighborhood Plan Referendum	Referendum	Local residents in Wirksworth	N	Mike Hase	
July- August 2015	Performance indicators POL8 & POL9, N14& N15 % residents agreeing the Council provides value for money, satisfaction with how the Council runs things, feeling they can influence decisions in their locality, satisfied with the area	Corporate Plan Residents Survey	Local residents	N	Steve Capes	
Late 2015	Issues and options consultation for local plan	Local exhibitions, public meetings,	Local residents, developers and statutory	N	Mike Hase	

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
		website consultation	agencies.			
Corporate Services						
To be discussed at training event in summer 2015	Parish/Town Council liaison-discussion on the future approach to Parish Clerks Seminar and Parish/Town Council Conference	Meeting	Parish/ Town Councillors	N	Sandra Lamb	
December 2015?	Internal satisfaction with the Business Support Service	On-line/ electronic	Staff	N	Sandra Lamb	
Annual?	Customer Satisfaction Monitoring	TBC	Local residents & stakeholders		Sandra Lamb	
Human Resources & Payroll						
Oct 2015	Staff Survey	Online and paper	Staff	N as all staff in scope	Deborah Unwin	Project team formed, planning work commenced to take project def doc to CLT
March 2016	HR Self Service system	Working group and online survey on SIDD	Staff	Y	Deborah Unwin	Project team formed, CLT agreed project def doc, work streams commenced inc demonstration of one solution.

GOVERNANCE AND RESOURCES COMMITTEE

16th JULY 2015

Report of the Head of Resources

INTERNAL AUDIT REPORTS CONCLUDED UNDER THE 2014/2015 OPERATIONAL AUDIT PLAN AND FOLLOW UP OF PREVIOUS RECOMMENDATIONS

SUMMARY

This report asks the Committee to consider the internal audit reports produced in respect of the 2014/2015 Internal Audit Plan and also to consider the progress made by management in implementing agreed audit recommendations made during 2011/2012 – 2014/15 audits.

RECOMMENDATION

That the Committee note the findings and conclusions of the internal audit reviews and follow up of the implementation of previous recommendations.

WARDS AFFECTED

All of the District

STRATEGIC LINK

The internal audit reviews test and report on the effectiveness of internal control systems within service functions and support the Council's core values of providing value for money and quality of service. The implementation of audit recommendations also therefore contributes to achieving the Council's Aims, Priorities and Targets.

1 BACKGROUND

- 1.1 The 2014/15 Operational Audit Plan was approved by Corporate Committee on 20 March 2014. It provides a framework by which service functions are reviewed to test and report on the adequacy and effectiveness of risk management systems and the internal control environment within the Council. This supports the Annual Governance Statement by contributing to the economic, efficient and effective use of resources.
- 1.2 The Committee's terms of reference also require that it "considers the reports produced in accordance with the Audit Plan and responses to the recommendations made therein".

2 REPORT

- 2.1 Attached, as Appendix 1, is a summary of reports issued covering the period 31st January to the 22nd May 2015, for audits included in the 2014/15 Internal Audit Plan.
- 2.2 Reports are issued as Drafts with five working days being allowed for the submission of any factual changes, after which time the report is designated as a Final Report. Fifteen working days are allowed for the return of the Implementation Plan.

2.3 The Appendix shows for each report a summary of the Overall Audit Opinion of the audit and the number of recommendations made / agreed where a full response has been received. Appendix 1 also shows the number of recommendations, analysed between High, Medium and Low priority.

2.4 The overall opinion column of Appendix 1 gives an overall assessment of the reliability of the internal controls examined in accordance with the classifications shown in the following table:

<i>Control Level</i>	<i>Definition</i>
Good	A few minor recommendations (if any).
Satisfactory	Minimal risk; a few areas identified where changes would be beneficial.
Marginal	A number of areas have been identified for improvement.
Unsatisfactory	Unacceptable risks identified, changes should be made.
Unsound	Major risks identified; fundamental improvements are required.

2.5 Eight reports have been issued, five with a good opinion, two with a satisfactory opinion and one with an unsatisfactory opinion. Seventeen recommendations have been made and accepted.

The unsatisfactory report was in relation to the Arc leisure. The main points arising included:-

- No cashing up procedures/poor procedures
- Concessions not being checked for validity on renewal of passes
- Sharing passwords
- No reconciliation between the Gladstone system and Agresso in respect of the number of direct debit payers for leisure passes
- No stocktaking of saleable items
- No up to date inventory

The recommendations made in the Arc Leisure Report were accepted by management and most have been implemented at the time of writing this report.

2.6 In respect of the audits being reported, it is confirmed that there are no issues arising that relate to fraud that need to be brought to the Committee's attention.

2.7 Attached at Appendix 2 is the current position at 22 May 2015, of internal audit recommendations made as a consequence of audit reviews undertaken during 2011/2012 – 2014/15. 27 recommendations are outstanding. Appendix 2 gives a

commentary next to each recommendation of the progress made.

3. RISK ASSESSMENT

3.1 Legal

Each review concludes with an assessment of the relevant risk. As no rule of law has been breached the legal risk is therefore low.

3.2 Financial

There are no financial considerations arising from the report.

4 OTHER CONSIDERATIONS

In preparing this report the relevance of the following factors is also been considered prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.

5 CONTACT INFORMATION

Jenny Williams, Interim Head of the Internal Audit Consortium
(Jenny.Williams@chesterfield.gov.uk)

6 BACKGROUND PAPERS

None

7 ATTACHMENTS

Appendix 1 - Summary of Internal Audit Reports Issued – 31st January 2015 to 22nd May 2015

Appendix 2 – Review of outstanding audit recommendations at 22 May 2015

BACK TO AGENDA

DERBYSHIRE DALES DISTRICT COUNCIL

Internal Audit Consortium - Report to Governance and Resources Committee

Summary of Internal Audit Reports Issued – 31st January 2015 to 22 May 2015

Report Ref	Report Title	Scope and Objectives	Overall Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D020	Illuminations	To reconcile the income received from ticket sales and to review the final account	Good	17/02/2015	10/03/2015	0	0
D021	Treasury Management	To review the procedures and controls in place	Good	17/02/2015	10/03/2015	2M	2
D022	Main Accounting	To review the procedures and controls in place	Good	17/02/2015	10/03/2015	0	0
D023	Cash and Bank	To review the procedures and controls in place	Good	25/02/2015	18/03/2015	0	0

Report Ref	Report Title	Scope and Objectives	Overall Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D024	Choice Based Lettings	To ensure that there is an approved policy in place that is being applied	Good	13/03/2015	07/04/2015	1M	1
D025	Arc Leisure	To review the processes and procedures in place and to ensure that they are operating	Unsatisfactory	09/04/2015	30/04/2015	11 (8H 3M)	11
D026	Bakewell Pool	To review the processes and procedures in place and to ensure that they are operating	Satisfactory	09/04/2015	30/04/2015	3 (2H 1M)	3 (2H 1M)
D027	Procurement	To ensure that Financial Regulation and Standing orders are being applied in respect of procurement processes	Satisfactory	09/04/2015	30/04/2015	0	0

REVIEW OF OUTSTANDING AUDIT RECOMMENDATIONS AT 22 MAY 2015

SERVICE	RECOMMENDATIONS	COMMENT
Street Cleansing, Public Conveniences and Transport August 2011	Produce and distribute revised driver's procedures packs and obtain signatures of recipients to confirm receipt, understanding and commitment to comply Target date 31 March 2012 (High)	From discussions with the Head of Environmental Services it was found that a motor review in conjunction with Zurich (the Council's insurer) was underway and due for completion in April 2014 at which point all recommendations would be addressed therefore scheduled for further review with a target date of 30.4.14 Target date reset in accordance with the motor review recommendations to June 2015 (Restated in Audit Report of May 2014)
Leisure/Vending February 2013	VAT issues be resolved to ensure accounting arrangements meet HMRC guidance (High)	Vending contract re-let to Gem, service provision to begin once contract is signed Complete – billing arrangements satisfactory
	An accounting system be introduced and maintained to enable the percentage income share to be verified (High)	Vending contract re-let to Gem, service provision to begin once contract is signed Complete – billing arrangements satisfactory, spreadsheet designed to monitor and reconcile income received
Debtors October 2013	Following completion of the reconciliation of live leisure passes on the Torex system against subscriptions on the Agresso system : Whether centre users should be charged retrospectively for unbilled usage or whether to begin payment for their subscription from the date any errors were identified, management consider; (High)	Each case will be considered individually according to the circumstances of the error (A Watts) IT Service Review includes upgrade/replacement of Torex system (C Mosley 27.2.14) therefore review 30 June 2014 Complete – Gladstone system implemented February 2015, data cleansing exercise undertaken

SERVICE	RECOMMENDATIONS	COMMENT
	<p>Why the errors have occurred and if attributable to human error whether staff need retraining in the procedures (High)</p>	<p>200/400 have been checked to date and only 2% of errors attributable to MI (P Lisewski) October 2013 Current procedure laborious and open to error (A Watts) IT Service Review includes upgrade/replacement of Torex system (C Mosley 27.2.14) therefore review 30 June 2014 Complete – Gladstone system implemented February 2015 staff training undertaken</p>
	<p>Whether procedures could be enhanced by the introduction of a checklist to confirm that all steps have been appropriately completed (High)</p>	<p>Weekly reports are supplied by debtors to leisure of all payments collected and passes amended or cancelled in that week that can be used to ensure Torex has been updated correctly (P Lisewski) October 2013 As part of the review of the structure and operations of Leisure Centres, further consideration will be given to the provision of the service for the admin of leisure passes (A Watts) IT Service Review includes upgrade/replacement of Torex system(C Mosley 27.2.14) therefore review 30 June 2014 Complete – Gladstone system implemented February 2015 procedures reviewed and revised</p>

SERVICE	RECOMMENDATIONS	COMMENT
	Periodic reconciliation of the two systems to monitor effectiveness (High)	A 6 monthly reconciliation in Oct/Apr is proposed as this is a resource intensive task (P Lisewski) October 2013 See response to action 3 (A Watts) IT Service Review includes upgrade/replacement of Torex system (C Mosley 27.2.14) therefore review 30 June 2014 Complete – Gladstone system implemented February 2015 procedures reviewed and revised
Post Entry Training August 2013	As part of the review of the PET Scheme the following be included for consideration; <ul style="list-style-type: none"> • All training and attendance on courses should be notified to personnel section for the maintenance of centrally held records for completeness, accuracy and consistency • Agreement to undertake and attend training followed by subsequent failure to attend without good reason, result in repayment of fees (Medium) 	From discussions with the HR Manager it was found that there is currently no budget for PET other than pre-existing cases. Notification of attendance on many short courses is largely reliant upon service managers, however a database is due to be designed to record all training including currency for renewal of certificates etc. with a target date for completion of 31 March 2015 Complete – Electronic and hard copy records maintained
Cash & Bank April 2014	Responsibility for alarms testing be reassigned. It is also recommended that procedures regarding reaction to incidents, currently assigned to officers from the revenues and benefits sections be reviewed and revised prior to the relocation of those officers to Chesterfield under the Arvato partnership arrangement (High)	Alarm monitoring equipment has been relocated in the Customer Services Office. Testing had recently been undertaken however the response and safety procedures were to be reviewed as part of the service health and safety risk assessments currently being documented. Risk Assessment of the area has been undertaken.

SERVICE	RECOMMENDATIONS	COMMENT
Gifts & Hospitality May 2014	In addition to being notified of a change in procedure, employees also be reminded of their obligation to register receipt of gifts or hospitality (Medium)	30 June 2014 Considered low risk to be completed by 31 March 2015 – target date re-set to 30 June 2015
	Include the advice that employees whose partners also work for the Council formally register their relationships when the procedure is refreshed in accordance with the current structure (Medium)	Agreed. This approach is consistent with the Employee Code of Conduct. 30 June 2014 Considered low risk to be completed by 31 March 2015 . Complete – transmitted via Core Briefings and SMT
Transport Street Cleansing & Public Conveniences May 2014	Produce and distribute revised driver's procedures packs and obtain signatures of recipients to confirm receipt, understanding and commitment to comply (High)	Target date June 2015
	An inventory of general footwear and clothing stocks and issues be recorded detailing when and to whom they were issued (High)	Target date December 2014 Complete – electronic records maintained
	An instruction is issued regarding drawing of fuel for equipment to ensure that recharges are accurately accounted for (High)	Target date December 2014 Complete – electronic records maintained
Members Allowances September 2014	To ensure the consistency and accuracy of payroll system data and to comply with personnel security standards, corporate starters and leavers forms should be completed to set up and close payroll system records to confirm eligibility and authorisation (High)	Starter forms already in place, with information captured upon election of a particular councillor. Complete and Ongoing
	Claims should be submitted within the required timescales relating to the relevant financial year to ensure that expenses are accounted for and published accurately (High)	Complete and Ongoing

SERVICE	RECOMMENDATIONS	COMMENT
	Members should be required to produce a current copy of their vehicle insurance certificate to confirm business use cover on an annual basis (Medium)	Target date May 2015 at Members Induction and annually thereafter – Complete - Request issued for submission of insurance details
Creditors November 2014	Consideration be given to the production of an exception report to identify changes to critical data for management review or alternatively Arvato line management authorisation of those changes (Medium)	We will work together with the retained team to look into the possibility of an exceptions report and research how this would work in practice In progress – under discussion with Arvato
	Officers be reminded that all invoices referred for review and further authorisation due to a discrepancy should be investigated properly to ensure that the correct amount is remitted to the supplier (High)	Complete – email December 2014
	Credit cards should be signed for by each named holder (Low)	Awaiting implementation of banking contract currently underway
Benefits November 2014	Training be provided by accountancy to enable the benefits manager to undertake reconciliations of receipts against overpayments to update the ledger (High)	Complete
Data Protection January 2015	Comprehensive data protection training should be provided to all officers and Members of the Council following which refresher training should be provided at an agreed reasonable frequency with the requirement to sign a declaration of understanding and acceptance of their responsibilities and the consequences of failure to comply.	Training to be mandatory for employees and members, by 31 October 2015 or on induction, then every two years.
	Discussions be held with the NHS procurement partners to ensure that data protection issues be included in any future tender exercises for new systems (Medium)	Target date 31 March 2015 – In progress awaiting response from NHS
	The document retention policy should be reviewed and updated to include procedures for the destruction of data (High)	Target date 30 June 2015

SERVICE	RECOMMENDATIONS	COMMENT
	Once revised the document retention policy should be publicised and held centrally to ensure that all officers are able to comply (Medium)	Target date 31 July 2015
	Once revised and approved, the policy should be reviewed regularly to ensure that it is fit for purpose (Medium)	Agreed to be subject to annual review once revised
	The revised document retention policy should consider electronic and written data independently to ensure that any differences are documented (Medium)	Target date 30 June 2015
	Guidance should be included within the data retention policy relating to the destruction of data according to the classification of the data (confidential or not) (Medium)	Target date 30 June 2015
	Retention of credit card data be included in the revised data retention policy (Medium)	Target date 30 June 2015
	Re-word the statement included in job descriptions to make specific reference to the Data Protection Act '...manner and in accordance with the Data Protection Act' (Low)	Target date 31 March 2015 Complete – master copy updated
	Fair processing notice text should be drafted and provided to all asset owners for inclusion on all data collection application forms to ensure compliance with data protection requirements and consistency across the authority (Medium)	Target date 31 March 2015 – target date rescheduled to 31 July 2015
	Fair processing notice text to include grounds for consent e.g. By submitting data to us and/or using our web site you give your consent that all personal data that you submit may be processed by us in the manner and for the purposes described in the following fair processing notice (Medium)	Target date 31 March 2015 - target date rescheduled to 31 July 2015

SERVICE	RECOMMENDATIONS	COMMENT
	All forms used to collect personal data be reviewed to ensure that they include a corporately approved fair processing notice and a consent clause including forms used by external service providers who collect data on behalf of the Council e.g. Arvato – benefit forms, council tax applications for discounts and exemptions etc. (Medium)	Head of Resources to advise asset owners - Target date 31 March 2015 - target date rescheduled to 31 July 2015
	A Data Protection message be included on creditor remittance advice notes referring creditors to the Council's website for terms and conditions and fair processing information (full text cannot be included on the remittance advice due to the 120 character limit in the text field) (Medium)	Target date 31 March 2015 - target date rescheduled to 31 July 2015
	Asset owners identified in the Data Asset Register should ensure that all data within their remit is reviewed and maintained in accordance with the revised data retention policy once it has been documented and approved (Medium)	Head of Resources to advise asset owners - Target date 31 March 2015 - target date rescheduled to 31 July 2015
	Pending collection for disposal, confidential data should be securely stored. The arrangement should be agreed and documented in the revised data retention policy (High)	Consider lockable wheelie bins - Target date 31 March 2015 – Rescheduled to 30 June 2015. In Progress – order placed for lockable containers
	A procedure for responding to subject access requests be documented to ensure that there is a consistent approach that complies with ICO checklist (High)	Target date 31 March 2015 - target date rescheduled to July 2015
Licensing January 2015	Members of the section be required to complete a declaration of interest in accordance with the revised Employee Code of Conduct (once approved) to ensure that they are aware of their obligations to comply (Low)	Declarations will be completed by each member of Licensing staff at least annually. Target date 30 January 2015 – Complete copies retained electronically

SERVICE	RECOMMENDATIONS	COMMENT
National Non Domestic Rates	Where the Council may be at risk of loss of revenue, empty property visits should be undertaken. Visits should be prioritised in accordance with the relief awarded, specifically those with an RV below 2,600; listed buildings and those occupied for charitable purposes (Medium)	Priorities were last reviewed internally in Sept 2013. The inspector's workload increased following the changes in April 2013. We also identified that Peak Park Planning had not been communicating their decisions to us. The inspection of all empty NNDR properties would lead to a reduction in the performance of the other duties. At the moment we do still inspect certain empty properties where we believe there could be a large financial impact on the council (e.g. the New Bath Hotel which is an empty listed building with a very high RV). We are working on the basis that inspecting unoccupied properties with low RVs has a low reward coefficient (those types of properties are likely to be entitled to SBRR). In fact, at the moment, there is an argument that we should be prioritising occupied properties where full SBRR is awarded. Suggest that we meet to agree priorities Ongoing
	Monthly reconciliations should be resumed to ensure that the Academy system balances to the C&D book to ensure that any discrepancies are identified and rectified promptly before year-end (Medium)	Agreed, balancing being done daily and monthly reconciliation will be resumed. Target date March 2015 - Complete
	Monthly reconciliations should be resumed to ensure that the Academy system refunds balance to the C&D book to ensure that any discrepancies are identified and rectified promptly before year-end (Medium)	Target date March 2015 - Complete

SERVICE	RECOMMENDATIONS	COMMENT
	Comprehensive working papers in support of year-end processes and the annual debit raise, which mirror Academy's order of processing should be maintained to confirm that each stage of the process has been fully completed and successful, confirmed by system output (High)	The process changes each year. Key staff have attended Capita year end training. Cross site experience will ensure successful completion. Target date Immediately - Complete
Council Tax January 2015	Comprehensive working papers in support of year-end processes and the annual debit raise, which mirror Academy's order of processing should be maintained to confirm that each stage of the process has been fully completed and successful, confirmed by system output (High)	Target date 31 March 2015 - Complete
	Revenues need to ensure that records are updated promptly and accurately following reports from the CEO to confirm that system records and government returns are accurate and up-to-date (Medium)	Target date 31 March 2015 - Complete
	Monthly reconciliations of payments posted to the council tax system against the C&D book and ledger be resumed to confirm that income received is accurately accounted for and any discrepancies identified and rectified in a timely manner (Medium)	Target date 31 March 2015 - Complete

SERVICE	RECOMMENDATIONS	COMMENT
Asset Management February 2015	The Asset Management Plan should be reviewed and revised as soon as practicable (Medium)	Agreed. Waiting for information from 2015 Condition Surveys which will make the AMP more relevant than relying on historic information. It was assessed as a Medium risk which should be completed by 31 March 2016
Treasury Management February 2015	The Financial Strategy should be reviewed, updated and approved by Council (Medium)	Target date November 2015
	Review and revise procedural guidance to reflect organisation structural changes and in accordance with the new banking contract once implemented (Medium)	In progress – to be completed once the implementation of banking contract is complete
Choice Based Lettings March 2015	Any declarations of interest identified during the verification process should be recorded on the Council's Register of Interests form and referred to the Head of Housing and Monitoring Officer (Head of Corporate Services) for retention (Medium)	Complete

SERVICE	RECOMMENDATIONS	COMMENT
<p>Arc Leisure March 2015</p>	<p>A documented procedure for cashing up relating to the Gladstone system be documented, printed and a copy retained at each till for reference when cashing up. Similarly the procedure for preparation of the consolidated banking for collection by Kings (cash management contractor) be produced to ensure that a consistent method is used by each centre and to improve the quality of returns submitted to exchequer section for reconciliation. Procedures should stress the importance of the requirement to cash up the till at the end of each shift to identify any discrepancies relating to the cashier responsible (High)</p>	<p>New procedure for cashing up now in COG manuals which Centres can print out for till areas.</p> <p>Kings cashing up procedure now in place, available in the COG manuals. Procedure to be approved by Customer Service team.</p> <p>Cashing up is now done at the end of each shift.</p> <p>All reception trained colleagues will be updated on new procedures and changes on Friday 17/4/15.</p> <p>Complete</p>
	<p>Ongoing entitlement for all leisure passes where a concession has been awarded that could be subject to change in circumstances resulting in the concession becoming no longer applicable should be applied consistently across all centres (High)</p>	<p>Concessionary policy currently under review, this will also include procedure for renewing membership.</p> <p>New Gladstone system allows reminders after a year; this will be required for all concessionaries except members over national retirement age.</p> <p>Target date 20 April 2015 – completed during staff training</p>

SERVICE	RECOMMENDATIONS	COMMENT
	<p>All staff should be reminded of best practice relating to their system user account and the risks involved in allowing colleagues to process transactions using their personal access rights which could result in the inability to identify responsibility for discrepancies (High)</p>	<p>Instruction given to all colleagues who use reception to log in with their own details when using the till system.</p> <p>Cameras also point at the tills so can be viewed when discrepancies happen.</p> <p>Target date 20 April 2015 – completed during staff training</p>
	<p>Each cashier should ensure that their till drawer is closed at all times when not in use and cash up their till at the end of shift. Takings should be removed and securely stored in the safe awaiting consolidated banking to reduce the risk of loss. The safe should be kept locked at all times for the security of bankings awaiting collection and supplementary floats. The key should be held securely away from the safe (High)</p>	<p>Cashiers reminded that they have to shut till drawer when leaving till for any reason.</p> <p>Safe is now kept locked and key is away in locked draw through magnetic door which only Duty Managers have access to.</p> <p>This was assessed as a high risk and should be implemented by 20 April 2015 – completed during staff training</p>
	<p>A review of the data that has been input onto the Gladstone system should be undertaken immediately to confirm that it reconciles to Agresso to ensure that income due is collected and that customers who have cancelled their direct debits have their leisure passes appropriately cancelled on the Gladstone system to deny ongoing use of the facility (High)</p>	<p>Ongoing, revenues have sent spreadsheets which are been cross referenced with the till system.</p> <p>Agresso numbers are also being inputted to all DD members which backs up this procedure.</p> <p>This was assessed as a high risk and should be implemented by 20 April 2015 – completed during staff training</p>

SERVICE	RECOMMENDATIONS	COMMENT
	A stocktake of saleables be undertaken immediately to value the current stock held following which monthly procedures be put in place to acknowledge purchases, value closing stock and calculate gross profit by completion of a monthly trading account. Templates are available on the leisure centres' 'X'drive and are being completed by the other centres (High)	Implementing same system as other sites. Procedure reintroduced as when Arc opened. Target date 20 April 2015 Complete
	A pricing policy for the sale of goods should be documented to ensure consistency across the centres. A procurement review should also be undertaken to ensure consistency with suppliers to ensure that the best discounts on purchases are achieved where similar products are stocked (Medium)	Procedure under review, new company being looked at for new saleable system which would address pricing consistency, slow moving stock and stock takes. Current pricing procedure will be introduced to the COG manual. 40% net or RRP if similar to 40%. Target date July 2015
	The policy should include the procedure for addressing slow moving items to ensure that goods are sold at the best price in good condition (Medium)	Target date July 2015
	Procedures relating to the loan and control of hire equipment should be specified and applied consistently (Medium)	Hire of equipment procedure updated, stocktake on hire equipment monthly. All customers pay 1x hire price for all rackets. Target date 20 April 2015 Complete
	An up-to-date inventory of hire equipment should be maintained to record stock and authorise disposals and justify the purchase of replacement stock (Medium)	Target date 20 April 2015 Complete

SERVICE	RECOMMENDATIONS	COMMENT
	<p>All staff responsible for raising billing requests should be made aware of the importance of accounting for income accurately including taking into account price increases and allocating income to the correct period – monthly billing should be undertaken to ensure that income is acknowledged in the relevant month (for budgeting purposes) but it is essential that it is acknowledged in the correct financial period (High)</p>	<p>Low value involved, doesn't justify high risk.</p> <p>Payment is an upfront 9 weeks and will be charged made at the current price at time of billing.</p> <p>Staff will be updated on procedures and to be more consistent when billing 1 March 2016</p>
	<p>Financial Regulations require that inventories recording the Council's assets are maintained and annual checks undertaken to identify any significant discrepancies, authorise any write-offs and disposals and provide a stock certificate to the Head of Resources. There was no evidence of the inventories having been reviewed since first recorded. The inventory should be updated as a matter of priority and subsequently maintained in accordance with financial regulations (High)</p>	<p>Inventory to be updated, last copy available 2011.</p> <p>Target date 30 April 2015 - Complete</p>
	<p>Up-to-date copies of inventories should be accessible to allow them to be updated in accordance with any acquisitions and disposals (High)</p>	<p>Saved in agreed folder which Centre Managers & Duty Managers can access. Procedure updated to all staff.</p> <p>Target date 30 April 2015 - Complete</p>
	<p>All disposals and sales should be authorised and recorded to provide an audit trail in support of physical discrepancies (High)</p>	<p>Will be authorised by Centre Managers and updated on the inventory.</p> <p>Target date 20 April 2015 - Complete</p>

SERVICE	RECOMMENDATIONS	COMMENT
	The vending income spreadsheet should be regularly maintained going forward, to monitor actual and expected income and also income against budget estimates (Medium)	Have only recently started getting spreadsheets from Gem Vending. Spreadsheets will be maintained in monthly report folder on X drive. Target date 20 April 2015 – Agreed and ongoing
Bakewell Leisure March 2015	Accuracy of the Gladstone database against Agresso be confirmed (High)	Ongoing, revenues have sent spreadsheets which are been cross referenced with the till system. Agresso numbers are also being inputted to all DD members which backs up this procedure. Target date 20 April 2015 - Complete
	Financial Regulations requires that inventories recording the Council's assets to be maintained and annual checks undertaken to identify any significant discrepancies, authorise any write-offs and disposals and provide a stock certificate to the Head of Resources. The inventory should be updated as a matter of priority and subsequently maintained in accordance with financial regulations (High)	Inventory to be updated, last updated 2013. Target date 20 April 2015 - Complete
	All disposals and sales should be authorised and recorded to provide an audit trail in support of physical discrepancies (High)	Will be authorised by Centre Managers and updated on the inventory. Target date 20 April 2015 - Complete

SERVICE	RECOMMENDATIONS	COMMENT
	<p>The vending income spreadsheet should be regularly maintained going forward, to monitor actual and expected income and also income against budget estimate (Medium)</p>	<p>Have only recently started getting spreadsheets from Gem Vending. Spreadsheets will be maintained in monthly report folder on X drive.</p> <p>Target date 20 April 2015</p>

GOVERNANCE AND RESOURCES COMMITTEE
16th JULY 2015

Report of the Head of Resources

INTERNAL AUDIT ANNUAL REPORT 2014/15

SUMMARY

The purpose of this report is to:

- Present a summary of the internal work undertaken from which the opinion on the internal control environment is derived
- Provide an opinion on the overall adequacy and effectiveness of the Council's control environment including any qualifications to that opinion
- Draw attention to any issues that required inclusion in the Annual Governance Statement
- Compare work actually undertaken with that which was planned and summarise performance
- Comment on compliance with the Public Sector Internal Audit Standards (PSIAS)
- Review progress against the internal audit improvement plan
- Comment on the results of the quality assurance programme
- Confirm the organisational independence of internal audit.
- Review the performance of the Internal Audit Consortium against the current Internal Audit Charter.

RECOMMENDATION

That the Internal Audit Annual Report for 2014/15 be noted.

WARDS AFFECTED

All

STRATEGIC LINK

Internal Audit's service aims and objectives are the provision of an independent service, which objectively examines, evaluates and reports to the Council and its management on the adequacy of the control environment as a contribution to the proper economic, efficient and effective use of resources.

1 SUMMARY OF WORK UNDERTAKEN

- 1.1 Appendix 1 details the audit reports issued in respect of audits included in the 2014/15 internal audit plan. The appendix shows for each report the overall opinion on the reliability of the internal controls. The report opinions can be summarised as follows:

Control Level	Number of Reports	Percentage 2014/15	Percentage 2013/14
Good	13	48.1	75.0
Satisfactory	12	44.5	17.5
Marginal	0	0	7.5
Unsatisfactory	2	7.4	0.0
Unsound	0	0	0.0
	27	100.0	100.0

A definition of the above control levels is shown at the end of Appendix 1.

- 1.2 There were no issues relating to fraud arising from the reports detailed in Appendix 1.
- 1.3 The following table summarises the performance indicators for the Internal Audit Section:

Description	2014/15		2015/16
	Plan	Actual	Plan
Percentage Plan Completed	96%	91.4%	96%
Number of Complaints	0	0	0
Completion of Annual Report	June 2015	June 2015	July 2016
Customer Satisfaction Score	80%	95.6%	80%
Cost per audit day	New for 15/16	£176	£205
Number/proportion of audits completed within time allocation	New for 15/16	N/A	80%
% Recommendations Implemented	New for 2015/16	N/A	80%

- 1.4 The range of performance measures in respect of Internal Audit has been increased for the 2015/16 financial year. The Public Sector Internal Audit Standards state that performance monitoring should include comprehensive performance targets. A review was undertaken of the possible measures that could be used and the most appropriate and meaningful ones are to be adopted for 2015/16.

2 OPINION ON THE ADEQUACY AND EFFECTIVENESS OF THE CONTROL ENVIRONMENT

- 2.1 In respect of the main financial systems, Appendix 1 shows that internal controls were found to be operating satisfactorily or well, giving an overall confidence in the internal control system operating in relation to these systems.

- 2.2 Overall, 95.6% of the areas audited received a good or satisfactory opinion demonstrating that there are effective systems of governance, risk management and control in place.
- 2.3 However, there were 2 unsatisfactory reports issued during the year where only limited assurance on the reliability of internal controls can be given. Management have agreed the recommendations made and the timescales for their implementation.

3 ISSUES FOR INCLUSION IN THE ANNUAL GOVERNANCE STATEMENT

- 3.1 The internal control issues arising from audits completed in the year have been considered by the Head of Resources during the preparation of the Annual Governance Statement. In respect of the Arc Leisure review, the recommendations made have been implemented so this has not been raised as a key governance issue. However, although there is an action plan in place in respect of Data Protection a number of actions have not yet been completed so this has been raised as a key governance issue.

4 COMPARISON OF PLANNED WORK TO ACTUAL WORK UNDERTAKEN

- 4.1 The Internal Audit Plan for 2014/15 was approved by the Corporate Committee on the 20th March 2014. A comparison of planned audits with audits completed is shown as Appendix 2. Overall 91.4% of planned audits were completed during the year.
- 4.2 Only 3 audits were not completed and these were deferred due to management requests/reviews currently taking place, these audits were - Health and Safety, Section 106 and Bakewell Agricultural Centre.

5 COMPLIANCE WITH THE PUBLIC SECTOR INTERNAL AUDIT STANDARDS AND OTHER QUALITY ASSURANCE RESULTS

- 5.1 During 2014/15 a self- assessment was undertaken to review compliance with the Public Sector Internal Audit Standards. The results of the review were reported to the Corporate Committee in December 2014.
- 5.2 This review confirmed that there were no significant areas of non-compliance but an improvement plan was developed to address the minor issues arising. Progress against the improvement plan can be seen at Appendix 3. As part of the improvement plan an Audit Guide was placed on the intranet to make staff more aware of the role and expectations of Internal Audit (Appendix 4).
- 5.3 It can also be confirmed that the internal audit activity is organisationally independent. Internal audit reports directly to the Head of Resources but

has a direct and unrestricted access to senior management and Corporate Committee/ Governance and Resources Committee.

5.4 Quality control procedures have been established within the internal audit section as follows:

- Individual Audit Reviews – Working papers and reports are all subject to independent review to ensure that the audit tests undertaken are appropriate, evidenced and the correct conclusions drawn. All reports are reviewed to ensure that they are consistent with working papers and in layout. Whilst these reviews can identify issues for clarification, the overall conclusion of the quality assurance checks is that work is being completed and documented thoroughly.
- Customer Satisfaction – A Customer Satisfaction Survey form is issued with each report. This form seeks the views of the recipient on how the audit was conducted, the report and recommendations made.
- Client Officer Views – A survey form was issued to the client officer seeking her views on the overall performance of the internal audit section for the year in achieving the objectives set out in the Internal Audit Charter.
- Both staff on site have copies of the Public Sector Internal Audit Standards.

5.5 The above quality procedures have ensured conformance with the PSIAS.

5.6 Based on the customer satisfaction surveys returned, the average score was 95.6 % for customer satisfaction during 2014/15.

5.7 The results of the Client Officer survey was a score of 100%.

6 **REVIEW OF PERFORMANCE OF THE INTERNAL AUDIT SECTION AGAINST THE CURRENT INTERNAL AUDIT CHARTER**

6.1 The Audit Charter was reported to and approved by the Corporate Committee in September

6.2 Based on the information provided in this report on the completion of the 2014/15 internal audit plan, it is considered that the requirements of the Charter were met during the year.

7 **RISK ASSESSMENT**

Legal

There are no legal considerations arising from this report.

Financial

There are no financial considerations arising from this report.

Corporate Risk

This report ensures that Members are aware of the work undertaken by internal audit during 2014/15 and their opinion on the adequacy and effectiveness of the systems in place.

8 OTHER CONSIDERATIONS

In preparing this report the relevance of the following factors is also been considered: prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.

9 CONTACT INFORMATION

Jenny Williams, Interim Head of the Internal Audit Consortium
jenny.williams@Chesterfield.gov.uk

10 BACKGROUND PAPERS

None

ATTACHMENTS

Appendix 1 – Internal Audit Reports Issued 2014/15
Appendix 2 – Comparison Planned audits to audits completed
Appendix 3 – Progress Against Improvement Plan
Appendix 4 – Guide to Internal Audit

BACK TO AGENDA

Internal Audit Reports Issued 2014/15

Ref	Report Title	Opinion 2014/15
1	Gifts and Hospitality	Satisfactory
2	Economic Development	Good
3	Transport, Public Conveniences and Street Cleaning	Satisfactory
4	Corporate Targets	Satisfactory
5	Parks and Recreation Grounds	Good
6	Refuse Collection	Good
7	Debtors	Good
8	Members Allowances	Satisfactory
9	Payroll	Satisfactory
10	Car Parks	Good
11	Creditors	Satisfactory
12	Benefits	Satisfactory
13	Data Protection	Unsatisfactory
14	Licensing	Good
15	Non Domestic Rates	Satisfactory
16	Council Tax	Satisfactory
17	VAT	Good
18	Budgetary Control	Good
19	Asset Management	Satisfactory
20	Illuminations	Good
21	Treasury Management	Good
22	Main Accounting	Good
23	Cash and Bank	Good
24	Choice Based Lettings	Good
25	Arc Leisure	Unsatisfactory
26	Bakewell Pool	Satisfactory
27	Procurement	Satisfactory

Internal Audit Report Opinion Definitions

Control Level	Definition
Good	A few minor recommendations (if any).
Satisfactory	Minimal risk; a few areas identified where changes would be beneficial.
Marginal	A number of areas have been identified for improvement.
Unsatisfactory	Unacceptable risks identified, changes should be made.
Unsound	Major risks identified; fundamental improvements are required.

Comparison Planned Audits to Audits Completed 2014/15

Main Financial Systems – Planned Audits	Progress as at 31st March 2015
Main Accounting System	Completed
Budgetary Control	Completed
Payroll	Completed
Creditor Payments	Completed
Debtors	Completed
Treasury Management	Completed
Cash and Banking	Completed
VAT	Completed
Council Tax	Completed
Non Domestic Rates	Completed
Housing / Council Tax Benefit	Completed

Other Operational Audits – Planned Audits	Progress as at 31st March 2015
Members Expenses/Civic Account	Completed
Economic Development	Completed
Asset Management	Completed
Transport/Plant/Vehicles/Fuel/Depot	Completed
Parks	Completed
Public Conveniences/Street Cleaning	Completed
Refuse Collection Contract	Completed
Illuminations	Completed
The Arc Leisure Matlock	In Progress
Bakewell Leisure Centre	In Progress
Bakewell Agricultural Centre	Deferred
Car Park Income	Completed
Section 106	Deferred
Choice Based Lettings	Completed

Fraud and Corruption – Planned Audits	Progress as at 31st March 2015
Anti-Fraud and Corruption Strategy	Completed
National Fraud Initiative	Completed
Gifts and Hospitality/Declarations of Interest	Completed

Corporate / Cross Cutting Issues – Planned Audits	Progress as at 31st March 2015
Corporate Targets	Completed
Procurement	In Progress
Health and Safety	Deferred
Data Protection	Completed
Follow up previous recommendations	Completed

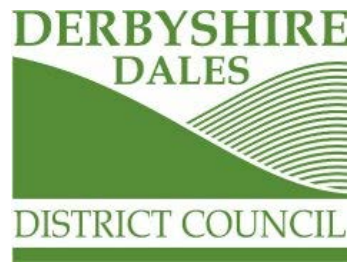
Contingency	As required
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Corporate Committee / Client Liaison	Ongoing
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Derbyshire Dales District Council
Progress Against Public Sector Internal Audit Standards (PSIAS) Improvement Plan as at 31st March 2015

Improvement Area	Current	Action Required	Action By	Progress as at 31/03/2015
The Standards state that an external assessment of Internal Audit should be carried out at least once every 5 years	Not undertaken as yet	An external assessment must be carried out by April 2018	HOIAC /Head of Resources	Not undertaken as yet
Performance monitoring – review of performance targets used. The Standards state that ongoing performance monitoring should include comprehensive performance targets.	The current performance indicators are reported in the annual report	Review other possible performance indicators to assess if appropriate for adoption	HOIAC /Head of Resources	Additional indicators have been identified and will start being measured in 2015/16
To make Officers more aware of the role and expectations of Internal Audit	Financial Regulations contain a section in relation to Internal Audit	To produce an article/leaflet to place on the intranet explaining the role of Internal Audit and the audit process	HOIAC	An audit guide has been produced and circulated to staff (Appendix 4)
The Standards state that when planning an audit consideration should be given to significant risks and the opportunities to make improvements to the activity's governance, risk management and control processes.	Testing schedules are reviewed prior to each audit but there is scope to improve this process	Test schedules should be geared more towards risk and governance areas	HOIAC/ Senior Auditor	Ongoing

Improvement Area	Current	Action Required	Action By	Progress as at 31/03/2015
Job descriptions should accurately reflect roles and responsibilities. Person specifications should define the required qualifications, competencies, skills, experience and personal attributes	There are job descriptions in place however the Senior Auditors job description has not been reviewed since the new management arrangements have been put in place.	The Senior Auditor's job description should be reviewed	HOIAC/HR/ Head of Resources	Complete
There should be established policies and procedures to guide staff in performing their duties in a manner that conforms to the PSIAS	The Senior Auditor complied with the CIPFA Code of Practice and audit procedures and now the PSIAS	The Audit manual needs updating to reflect the adoption of the PSIAS Standards	HOIAC/ Senior Auditor	Scheduled for Summer 2015
The Audit Charter	The Audit Charter is a comprehensive document however needs reviewing to ensure that it reflects the revised management arrangements	The Audit Charter should be reviewed and updated to reflect the revised management arrangements	HOIAC/ Senior Auditor	To be reviewed in the summer of 2015 and reported to this Committee in September 2015



GUIDE TO INTERNAL AUDIT

Purpose of the Guide

The aim of this guide is to try and allay some of the fears and misconceptions connected with an internal audit by explaining the role and purpose of internal audit. We would like managers to view an internal audit as a positive experience and not just a necessary evil! We are not trying to catch you out, pick fault or make life difficult, we just want to ensure that the appropriate controls are in place and operating to reduce risks for the council.

The Audit Team

We have a very experienced Senior Auditor based on site and a very willing and able Apprentice. Both are friendly, approachable, willing to work around your other work commitments and to discuss any issues as they arise to try and find mutually acceptable solutions.

Why have an Internal Audit – other than you have to?

An internal audit will add value to you service by:-

- Confirming that there is a sound system of internal control and that your internal controls are operating effectively;
- Identifying potential weaknesses that you may not have considered;
- Ensuring that risks are being appropriately managed;
- Offering advice and guidance;
- Making practical and useful recommendations for improvement so there is less chance of things going wrong or mistakes being missed;
- Sharing the experiences of other Consortium members and best practice;
- Confirming that records are reliable so that management decisions can be based on accurate information;
- Confirming that the Council's policies, procedures and instructions are being followed;
- Confirming that assets are properly safeguarded.

Statutory Requirements

It is a statutory requirement for Councils to have an Internal Audit function. Internal audit is an independent, objective assurance function established for the review of the control environment (risk management, internal controls and governance) within an organisation.

The Internal Audit Consortium has to adhere to professional Standards including the Public Sector Internal Audit Standards which came in to force in April 2013.

Internal audit has a right of access to all books, records and documents (including computer files) and a right of entry to all sites, works and offices and any other property if considered necessary during an audit.

Financial Regulations also set out the role and purpose of internal audit. Senior managers are required to report any suspicions of fraud, corruption, financial irregularity etc. to the Head of Internal Audit.

Audit Plans

Each year we produce a detailed audit plan that is approved by the Governance & Resources Committee. The plan is established by various means but includes a detailed risk assessment so that areas with the highest risk are covered more frequently.

Some areas such as housing benefits are covered every year as there is a high value and high number of transactions involved and it would also be very embarrassing for the Council if something went wrong. Other areas with low income and expenditure and low risk, for example pest control, may only be covered once every 5 years.

In respect of key financial systems such as Council Tax, Debtors and Creditors etc., External Audit (KPMG) place reliance on our work which reduces the time they need to spend on audits and hence keeps their fees to a minimum.

The Audit Process

- At the start of each audit we will contact the appropriate manager and arrange a start date for the audit.
- Where required a start up meeting will be arranged to discuss the audit, any concerns managers have in relation to the area under review and any changes that may have occurred since the previous audit.
- The audit will then commence. We try to cause as little disruption as possible and to work around your other work commitments.
- Initially we will need to document the systems and procedures in place particularly if we have not reviewed an area for some time.

- Testing will be undertaken to gain assurance that the systems and procedures in place are operating effectively and that they are appropriate.
- We may ask for copies of documents you hold such as your own system notes, procedures manuals, user guides, committee minutes etc
- Samples will usually be selected and examined to ensure that procedures are being followed.
- Once we have completed the audit a draft report will be produced. If we have noted any areas of weakness that present a risk then we will make recommendations within the report to address these risks.
- A close out meeting will then be arranged with the Service Manager where the findings of the report and the recommendations made will be discussed. This is the opportunity for managers to correct any factual inaccuracies. The recommendations will be discussed in terms of their practicality and we will be willing to consider alternative solutions to address a risk where possible.
- An audit opinion on the controls in place will be included within the report. These are:-

Control Level	Definition
Good	A few minor recommendations (if any).
Satisfactory	Minimal risk; a few areas identified where changes would be beneficial.
Marginal	A number of areas have been identified for improvement.
Unsatisfactory	Unacceptable risks identified, changes should be made.
Unsound	Major risks identified; fundamental improvements are required.

- The report will then be issued. The service manager will have 5 working days to agree the factual content of the report and 15 working days to complete and return the implementation schedule (action plan).
- The recommendations made will then be monitored to ensure that they are implemented. The Corporate Committee periodically review the recommendations that are still awaiting implementation. The Public Sector Internal Audit Standards have made it a requirement that the Head of Internal Audit ensures that agreed recommendations are implemented.
- Each quarter the results of the audits undertaken are reported to the Council's Corporate Committee.
- The Corporate Committee has the power to summons managers to meetings if they feel that they are not giving internal audit reports and recommendations the consideration they are due.
- At the end of the year an annual report is produced summarising all the work we have undertaken in the year. This is used to produce an

opinion on the governance, risk and control arrangements in place which in turn feeds in to the Annual Governance Statement.

Aiding the audit process

The audit process runs much smoother if managers ensure that:-

- Information is provided as soon as possible when requested;
- That access is granted at all reasonable times to premises, personnel, records and assets that the auditors consider necessary for the purpose of their work;
- The most knowledgeable personnel in the area to be audited are available;
- The findings and recommendations made in audit reports are responded to promptly and agreed recommendations implemented.

Customer Satisfaction Surveys

When the report is issued you will receive with it a Customer Satisfaction survey to complete. It helps us to get as many surveys back as possible so that we can use them to improve and develop our service.

Conclusion

Whilst we appreciate that everyone is busy and under pressure, we hope this guide has helped to explain why internal audit can add value and is not something to fear.

Internal Audit is a service to management that is independent and unbiased. We aim to be professional and to offer constructive and practical recommendations to help improve and protect services.

Contact Details

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GOVERNANCE & RESOURCES COMMITTEE
16 JULY 2015

Report of the Head of Resources

INFORMATION GOVERNANCE FRAMEWORK AND STRATEGY 2015 - 2018

SUMMARY

The Information Governance Framework and Strategy sets out the requirements, standards and best practice that apply to the handling of information.

RECOMMENDATIONS

That the Derbyshire Dales District Council Information Governance Framework and Strategy 2015-2018 be adopted.

WARDS AFFECTED

All

STRATEGIC LINK

The Information Governance Framework and Strategy supports the District Council's Corporate Plan aim to provide excellent services, and contributes to the delivery of all corporate priorities.

1 BACKGROUND AND INTRODUCTION

- 1.1 Information Governance provides a framework for bringing together all of the requirements, standards and best practice that apply to the handling of information. It encompasses efficient ways of handling records and information, risk management and compliance.

The need for information governance stems first and foremost from the council's responsibility towards its citizens and customers. Access to reliable information is an indispensable component of meeting our core objectives and there is an increased need to focus on the overall value of information protected and delivered. We often underestimate the value, importance and legal responsibility associated with the information we use every day. There can be a fine balance to maintain between keeping information safe and accurate, and sharing it when needed.

- 1.2 The council holds and processes large volumes of personal and sensitive information which is necessary for the efficient and effective delivery of services. Consequently, an information governance framework that is flexible and responsive to changes in risks and to services delivered is essential.

The council is committed to preserving the confidentiality, integrity and availability of all its physical and electronic information systems and records in order to provide assurance that the organisation manages its information risks:

- So that the needs of service users and citizens and the requirements of corporate governance are met;
- To establish confidence that partnership arrangements involving sharing and exchange of information are legal and secure;
- To establish that designed and implemented security features are effective;
- To provide confidence that services and products offered by third parties manage information risks on behalf of the council in a way which is adequate and fit for purpose.

- 1.3 The need for a comprehensive information governance framework also arises from:
- Legal (legislation and common law), regulatory and contractual requirements;
 - Corporate governance;
 - Business and service delivery;
 - Protecting the public purse (from legal challenges and / or fines);
 - Business continuity requirements.

Each of these imposes significant demands on the council.

2 DDDC INFORMATION GOVERNANCE FRAMEWORK AND STRATEGY

- 2.1 A draft framework and strategy for 2015-2018 is shown in Appendix 1. Key points include:

- The key principles that have been designed to set the direction of the Information Governance strategy;
- Ownership and governance arrangements;
- A need to produce guidance and to raise awareness on data protection / information governance issues across all employees and members. Mandatory training is recommended and information will be made available on the intranet;
- A requirement to produce a comprehensive Information Asset Register. Work has commenced on this but further work is necessary;
- A need for the Document Retention Policy (recently produced) to be brought to the attention of employees and members;
- Further work on storage and archiving is required;
- Consideration be given to the introduction of an Information Classification System, a System of Protective Marking and Encryption of Emails.

- 2.2 The Council established an Information Governance Board in 2014. This comprises the following officers:

Head of Resources (Chair and Senior Information Risk Officer)
Solicitor
Business Support Manager
Joint ICT Manager

It is their role to set the direction for information governance and to monitor the Council's performance in this regard. The Board meets quarterly.

- 2.3 The proposed strategy includes a requirement that internal audit carries out a review of information governance / data protection arrangements. Members will be aware from a report elsewhere on this agenda and from the Annual Governance Statement approved by Council in June 2015, that a recent Internal Audit Review into Data Protection arrangements concluded that they were "unsatisfactory". An action plan has been produced. Some actions have been completed and the others are expected to be completed by 31 October. Until these actions have been completed, there is a high risk of a security breach.

3 RISK ASSESSMENT

3.1 Legal

The Information Governance Framework and Strategy should ensure that information is handled in a way that is legally compliant and meets best practice. The legal risk is low.

3.2 Financial

The costs of implementing the strategy can be accommodated in existing budgets, Therefore, the financial risk is assessed as "low".

3.3 Corporate Risk

Adequate Information Systems are required to support all the District Council's services. Information Risks in the Corporate Risk Register are currently assessed as 'high', pending the implementation of the recommendations identified in the Internal Audit Report.

4 OTHER CONSIDERATIONS

In preparing this report the relevance of the following factors is also been considered prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.

CONTACT INFORMATION

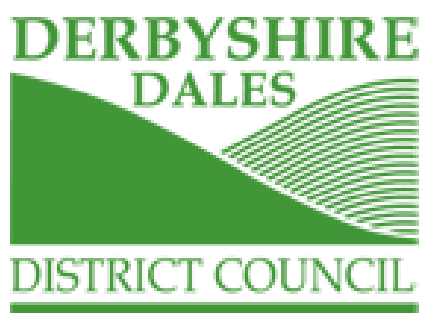
Karen Henriksen, Head of Resources, Telephone 01629 761284
Or email: karen.henriksen@derbyshiredales.gov.uk

BACKGROUND PAPERS

None

ATTACHMENTS

Appendix 1 Draft Information Governance Framework and Strategy 2015 – 2018.



DRAFT

**Information Governance
Framework & Strategy
2015 - 2018**

CONTROL SHEET FOR: Information Governance Framework & Strategy

Strategy Details	Comments / Confirmation
Name	Information Governance Framework & Strategy 2015 - 2018
Strategy author	Head of Resources
Member route for approval	Governance & Resources Committee
Equality Impact Assessment approval date	Internal document with no direct impact on customers or community groups.
Date strategy approved	
Date strategy due for review (maximum three years)	July 2018

Change History		
Version No.	Date	Change Details
1.0	13/04/15	Initial Draft for IG Board
2.0	15/06/15	Draft for CLT
3.0	19/06/15	Updates from IGB & CLT

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2. Information Governance Principles	1
3. Information Governance Requirements	3
4. Information Governance Framework	5
5. Strategy Action Plan	6

1. Introduction

This strategy sets out the ambitions of Derbyshire Dales District Council in the area of Information Governance. The Council recognises the importance of information to the daily work of the authority. Organisations gather information for the prime purpose of record keeping or making decisions. We do this by summing, aggregating and analysing data flowing through our operational systems. This is then used to form the basis of evidence-based decision making. By processing data and putting it into context we derive information, which we use to run our business. Intangible qualities such as knowledge and wisdom also help to shape information.

Information is gathered from a variety of sources, including customers, clients, stakeholders, government and partners. Information is a key resource, which if properly managed has a crucial role to play in enabling better decision making and delivering effective services to the community.

Types of information held may include financial data, property data, employee data, customer records, consultation data, equality data, policies, procedures, decision documents, transactional data, spatial data, publicity information etc. This information is captured in many different formats including letters, emails, reports, leaflets, web content, data sets, databases etc.

Councils must have in place an effective framework for collecting, accessing, storing, sharing and deleting information. It is even more important to have a consistent approach at times when the Council is continuing to experience budget pressures. Information technology has a huge role to play in providing and managing information.

This strategy aims to outline our approach over the next three years.

2. Principles

Information is a critical resource which must be effectively managed by the business in order for the Council to meet strategic aims, whilst meeting its obligation to the public. Taking into account our legislative, performance and policy responsibilities, the following key principles have been designed to set the direction of the Information Governance strategy:

- Information is actively and strategically managed as a critical business asset;
- Standard policies and procedures will be in place to implement legislative and regulatory requirements;
- We understand the information we have available and who is responsible for it;
- A strong focus on data quality is important to ensure information is accurate;
- Storage and security of information is managed effectively;
- Employees have the necessary skills to manage and use the information resources we hold;
- Availability and accessibility of information is managed efficiently to promote transparency;
- Sensitive or restricted or personal information is managed safely and information sharing is carried out with confidence;
- We will continuously strive to improve our Information Governance systems.

These principles will apply to all aspects of the council's work.

There are a number of national drivers which influence this strategy and the above principles. These include:

- Legislation and regulatory requirements (see below)
- Public Service Network (PSN) requirements
- Payment Cards Industry(PCI-DSS) requirements
- Contractual requirements such as the Public Sector Mapping Agreement and Data Co-operation Agreement.

The main legislation that guides this strategy is:

- Data Protection Act 1998
- Freedom of Information Act 2000
- Environmental Information Regulations 2004
- Regulation of Investigatory Powers Act 2000
- Re-use of Public Sector Information Regulations 2005
- Public Records Act 1958
- Local Government Act 2000
- Code of Recommended Practice for Local Authorities on Data Transparency (2011)
- E.U. INSPIRE Directive 2007/2/EC.

The ownership and governance of this strategy will be through the following model:

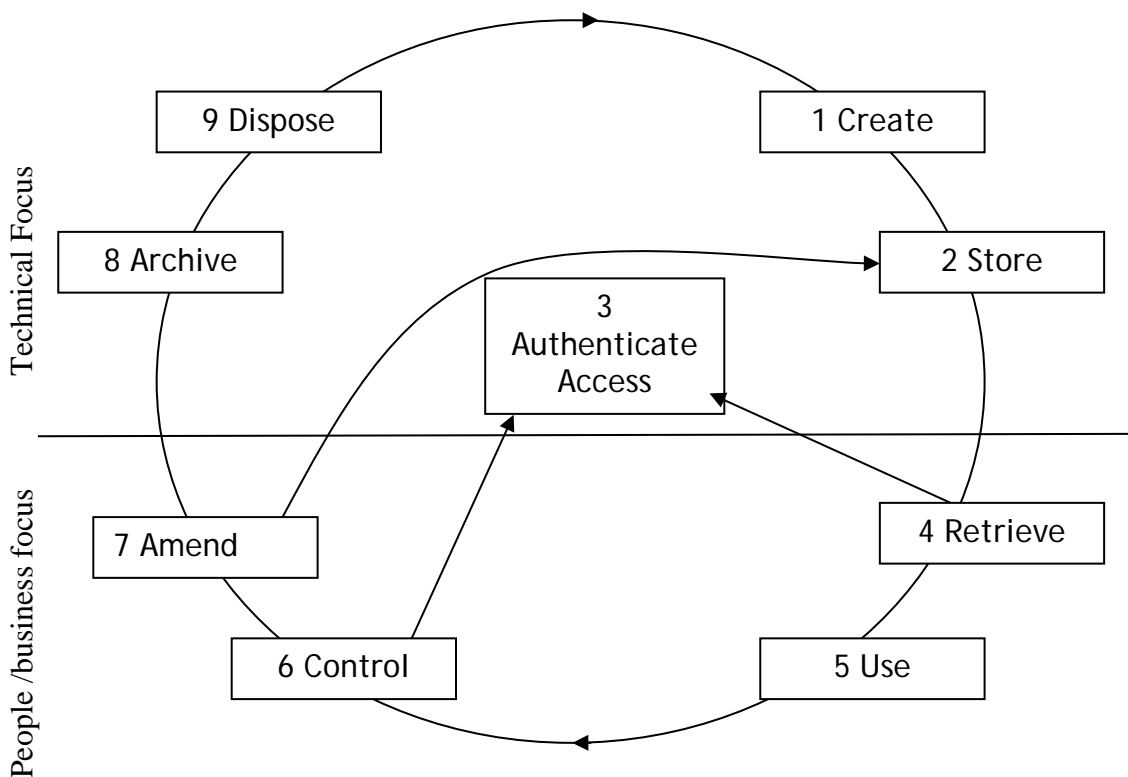
Governance Role	Responsibility	Officer(s)
Strategic Sponsor	High level sponsorship of the strategy and its implementation	Chief Executive
Information Governance Board	Sets the strategic direction for Information Governance and monitors progress	Head of Resources Solicitor Business Support Manager Joint ICT Manager
Strategic Information Risk Owner (SIRO)	Co-ordinates the delivery of the Information Governance strategy Corporate Risk Management	Head of Resources
Information Asset Owners	Ensuring the effective collection, storage, access, sharing and deletion of information within departments	Heads of Service / Senior Managers
Information Users	Safe and secure day to day authorised access and management of information	All employees and Members

3. Information Governance Requirements

Managing information involves a controlled and disciplined approach to looking after information assets at every step from creation through to disposal or indefinite retention to archive. High profile information losses from a range of both central and local government authorities and the introduction of financial penalties by the Information Commissioner's Office have only served to heighten the need for strong Information Governance in the public sector.

In order to understand our Information Governance requirements we must first identify how we obtain, use and dispose of information within the business. SOCITM have produced a model which sets out the different stages of the information life cycle which are helpful in clarifying Information Governance.

3.1 Information Life Cycle Model (SOCITM 2010)



The information life cycle model consists of:

<p>1. Create</p>	<ul style="list-style-type: none"> • Both systems and people create information. • Systems do so in an organised way whereas individuals are less so. • Making information available to those who have a legitimate right of access is imperative. • It is also important to avoid overloading people with information.
<p>2. Store</p>	<ul style="list-style-type: none"> • The important point of storing information is the ability to retrieve it easily later. • Information should be stored securely in line with policy.

3. Authenticate Access	<ul style="list-style-type: none"> • Security clearance needs to be in place for those that have a legitimate need to access information. • Setting up technical systems and rules about authentication is important. • Secure marking is also becoming an important element.
4. Retrieve	<ul style="list-style-type: none"> • Retrieval is easier through electronic systems rather than manual files. • Research and retrieval tools should be utilised wherever possible.
5. Use	<ul style="list-style-type: none"> • Information will be used on a daily basis by employees and contractors to deliver services to customers. • Systems that process and present information need to support the user needs. • Information presented to customers must be easy to understand. • Information transfers within the organisation or with partners must occur in a secure manner in line with Information Sharing Protocols.
6. Control	<ul style="list-style-type: none"> • Control is about establishing ownership, rights and responsibilities in relation to information. • Personal information (data) as defined by the Data Protection Act has to be strictly controlled. • Data sets should carry protective security markings. • Periodic and random audit checks on data quality and integrity should take place. • Data cleansing should be an ongoing activity.
7. Amend	<ul style="list-style-type: none"> • Amendments can be by employee interaction or automated. • Clear audit trails should exist when customer records are amended. • Information contained in documents or data sets should have clear version controls.
8. Archive	<ul style="list-style-type: none"> • Archiving involves the removal of information to avoid clutter and preservation for future access. • The Document Retention Policy takes effect at this point in the life cycle. • Archived documents must be ordered and readily retrievable.
9. Dispose	<ul style="list-style-type: none"> • At the final stage of the life cycle is the thorough destruction and disposal of information which must be done securely in line with guidelines.

For any model to be successful it needs to be backed-up with policies, procedures and employee learning/development.

3.2 Information Governance Policy and Procedures

There are a number of policies and procedures in place which help maintain the security of Council information assets. It is important that all employees are aware of their individual

responsibilities to ensure that information relating to them, the Council and its customers, is protected.

The existing ICT policies are available on the intranet however the policies are currently under review.

Freedom of Information and Data Protection policies, guidance and procedures can be found on the intranet.

Employees need to be aware of their own personal responsibilities, be prepared to report behaviour that is not in line with good Information Governance and understand the outcomes for breaching Information Governance controls.

3.3 Employee and Member Learning and Development

Information Governance skills should be considered as part of the recruitment and selection process for potential employees and as part of the induction process for employees and members. It is also important that competencies identify Information Governance as a core skill set to be discussed in the Staff Performance and Development Review process.

All employees and members will be required to undertake ICT Security Awareness training and mandatory Data Protection training every two years. Training will be provided during 2015. Thereafter new starters will be covered as part of the IT induction.

4. Information Governance Framework

Information Governance is about ensuring that organisational information is managed as an asset to ensure that all statutory, regulatory, and best practice requirements are met.

Our approach is based on the following Information Governance Framework:

	Data Protection	Freedom of Information	Information Security	Records Management	Data Quality
Management Structure & Policies	For each framework heading there is a top level policy setting out the Council's rules, requirements and responsibilities. The Information Governance Board is responsible for implementing the framework				
Training & Awareness	There will be a planned approach to training and awareness for each policy. This will be regularly assessed, and should equip each person to fulfil their responsibilities				
Procedures & Documentation	There will be documented procedures to support agreed policies. These will specify any operational instructions required to ensure compliance with legislation and standards				
New & Changed Systems	Information governance issues will be considered for all new and changed information systems or deployment of ICT. The issues arising will be documented and assessed using information risk management methods where information assurance is identified as an issue				
Monitoring & Compliance	There will be a timely and effective monitoring, reporting and compliance regime, including periodic reviews by Internal Audit.				

The framework is designed to ensure that there is a structured approach to the improvement of information governance and to ensure that the District Council:

- Holds information securely and confidentially;
- Obtains information fairly and efficiently;
- Records information accurately and reliably;
- Uses information effectively and ethically;
- Shares information appropriately and lawfully.

5. Strategy Action Plan

In order to ensure that this Information Governance Strategy is delivered there are a number of key developments which need to be implemented. These will be defined within this section.

5.1 Public Service Network (PSN) Compliance

The Public Service Network (PSN) is a secure wide area network (WAN) that allows access to Central Government systems, secure data transfer, secure email and accredited solutions provided by public sector organisations and accredited third parties. At present this includes GCSx secure email, CIS (Benefits), Tell Us Once and Electoral Registration systems. The scope of the PSN network covers local authorities, central government departments, National Health Service, the Criminal Justice Extranet and the Police National Network. Some council employees will be required to have access to the facilities operated by this network in order for them to carry out their business. This may include employees having access to secure email facilities. All users requiring access to the PSN network will be required to read and understand an Acceptable Usage Policy (AUP) and sign a Personal Commitment Statement.

In order to be PSN compliant the Council has to ensure that a number of conditions and controls are in place. These are subject to annual review by the PSN team within the Cabinet Office based on submissions stating our compliance with the controls. In addition a 3rd party external audit is undertaken to test a number of the technical security controls within the Code of Connection.

Further information can be found in the Information Security Policy.

In order to address the issues generated by Public Service Network compliance we will:

- Approve this Information Governance Framework & Strategy 2015-2018 and deliver the agreed implementation plan;
- Perform full Baseline Personal Security Standard (BPSS) checks for relevant employees;
- Revise the Information Security Policy in June 2017 or before if significant changes occur;
- Deliver annual training to all PSN users;
- Deliver an annual Data Protection Work Programme to ensure changes in legislation and practice are reflected in Council procedures;
- Deliver ICT Security Awareness Training for all employees and members during 2015 and then on a two yearly basis, this may be officer led or on-line;
- Deliver Data Protection Awareness Training for all employees and members during 2015 and then on a two yearly basis, this may be officer led or on-line;
- Deliver ICT Security Awareness and Data Protection Training for all new staff, new members or 3rd parties before allowing them access to our corporate network.

5.2 Information Asset Management

Information is a major asset that the Council has a responsibility and requirement to protect. Protecting information assets is not simply limited to covering the stocks of information (electronic or paper records) that the Council maintains, it also covers the people who use them, the processes they follow and the physical equipment used to access them.

The Council has produced an Information Asset Register, which is a complete list of systems (manual or electronic) processing personal data and therefore has an inventory of the information assets it owns.

The storage and archiving of information assets is an important element which can often be overlooked. The important point of storing information is the ability to retrieve it easily later. Effective archiving involves the removal of information to avoid clutter and preservation for the future. All archived documents must be ordered and readily retrievable. Work is necessary to improve this aspect of Information Governance, and a review would be timely to ensure space is being utilised appropriately.

In addition the storage of electronic data both within business system databases, structured data, and in unstructured data form (e.g. the x: drive and personal data folders) needs reviewing with regards to both data retention, duplication of data and data security. Some work has been undertaken to improve this. More work is necessary to improve the archiving, deletion and disposal of data. A Document Retention Policy has recently been produced and employee and member awareness will be increased through training. These improvements will be kept under review.

The Council publishes data protection information on its website including information about data sharing and Fair Processing. Fair Processing Notices should be included on all application forms that collect personal data.

The Council needs to raise awareness of employees and members to Data Protection Security Management guidance and processes for reporting data protection security breaches. A breach is considered as the loss, release or corruption of personal (customer or employee) data. After notification of a breach, the Senior Information Risk Owner (the Head of Resources) must consider whether the breach is serious enough to warrant reporting to the Information Commissioner's Office. The extent of the harm is judged on the volume of personal data involved and the sensitivity. Having adequate breach management is important to ensuring compliance with the Data Protection Act.

In order to address the issue of Information Asset Management we will:

- Maintain a Information Owners' Asset Register to assign asset owners and record the data that is held by the Council;
- Prepare guidance and templates and work with departments to complete Data Protection Privacy Impact Assessments on more complex systems holding personal data or on the implementation of new ICT systems.
- Carry out regular Internal Audit reviews to ensure compliance with Data Protection regulations and policies;
- Carry out a review of storage and archiving and make recommendations to CLT by December 2015;

- Carry out a review of electronic storage and if necessary make recommendations to CLT by September 2015;
- Monitor the reported Data Protection Security Breaches to inform decisions about self-reporting to the Information Commissioners Office;

5.3 Information Classification, protective marking and encryption of emails.

It is recommended that the Information Governance Board gives consideration to the introduction of an information classification system. The classification determines how the document should be protected and who should be allowed access to it. Any system subsequently allowing access to this information should clearly indicate the classification (this is known as protective marking). At present, the Council has not implemented corporate document classification. However users may come in contact with documents classified under the government or Derbyshire County Council scheme. Some Council departments who work with government departments will be familiar with the classifications and will be using them on a regular basis. If the information Governance Board agrees that a system is required, a system that is appropriate to Derbyshire Dales District Council will need to be devised.

Consideration will also be given to the security of information contained in emails, and whether a system of encryption is necessary for emails containing personal or sensitive information sent outside the government network.

In order to address the issue of Information Classification we will:

- Ensure that members and employees are aware that certain types of information should not be sent to non-Council email addresses or outside the gcsx email network, unless encrypted;
- Determine whether encryption should be introduced for emails that contain personal or sensitive information;
- Consider the introduction of a system of data classification, and classify data accordingly within the Personal Data Asset Register.

5.4 Data Transparency

The Government is keen for local authorities to routinely publish information and datasets which are of interest to the public and/or have been requested under a Freedom of Information request.

The Government's Transparency Programme and Open Data agenda requires us to publish datasets that have been requested under the Freedom of Information Act 2000 and to publish information in accordance with the Local Government Transparency Code 2015 and The Local Government (Transparency Requirements) (England) Regulations 2015. It is mandatory for the Council to publish the information specified in Part 2 of the Code in the manner, form and on the occasions specified.

The trend towards publishing more information will increase and the Council needs to be aware of this ongoing requirement. The Council already publishes information under the Transparency Code on its website, but it is not all accessible from a dedicated web page. In order to address the issues of Data Transparency we will:

- Develop a dedicated webpage for data transparency by 30 September 2015.

5.5 Local Land and Property Gazetteer (LLPG)

The Council is required to hold and maintain a database on all land and property within the district as part of the DCA (Data Cooperation Agreement). The DCA is issued by GeoPlace™ LLP (a partnership jointly owned by the Local Government Association (LGA) and Ordnance Survey). This database, known as the Local Land and Property Gazetteer (LLPG) must be maintained to a specified standard in order to form part of a central, national database/gazetteer and the authority must have a designated Authority Address Custodian who is responsible for ensuring the LLPG is managed correctly. The LLPG is also the corporate address database which should be linked to all address-based systems in order to streamline processes and improve efficiency with regards to address management across the authority.

In order to address issues around LLPG we will:

- Maintain the LLPG to the required standard.

5.6 Geographical Information System (GIS)

Spatial data is essential for a local authority to perform many of its statutory functions, in its simplest form this is geographical or map data. In order to use internally created spatial data and Ordnance Surveys base mapping, the Council has signed up to the Public Sector Mapping Agreement (PSMA) which governs which data we can use, how it can be used and allows us to share Geographical Information (G.I.) or mapping with third parties in order to meet our core business requirements. The PSMA requires authorities to designate an Authority Principal Contact who is responsible for ensuring that data is managed and maintained/managed correctly and copyright is protected.

A PSMA Contractors licence is required (essential) for any situation where G.I or LLPG data is required by third parties, consultants and contractors. The designated Authority Principal Contact is responsible for issuing the data and licences.

It is essential for user and departments/service areas that create and maintain G.I. data, to have a strong level of data management knowledge and awareness.

In order to address issues around the GIS we will:

- Ensure that the requirement of the Public Sector Mapping Agreement is met.

5.7 INSPIRE Directive

European [Directive 2007/2/EC](#), known as 'INSPIRE', establishes an infrastructure for spatial information in the European Union. Under INSPIRE authorities must make available in a consistent format, spatial datasets and metadata which come within the scope of the Directive and also create network services for accessing the datasets. These datasets must be created to a specified E.U.-wide standard in order for the data to be shared throughout Europe.

No personal data would be shared under this requirement.

In order to address issues around the INSPIRE Directive we will:

- Ensure that the requirements of the INSPIRE Directive are met.

Information Governance Strategy Action Plan

Action	Owner	Target Date
Publish an Information Governance Framework and Strategy	Head of Resources	31 July 2015
Ensure that Fair Processing Notices are included on all data collection forms	Head of Resources	31 July 2015
Develop an Information Governance Section on intranet (SIDD)	Information Governance Board	31 July 2015
Develop a dedicated webpage for data transparency	Head of Resources	31 July 2015
Consider the introduction of a system of data classification, and classify data accordingly within the Personal Data Asset Register.	Information Governance Board	30 September 2015
Carry out a review of electronic storage to identify ownership of unstructured data & rationalise data	Information Governance Board	30 September 2015
Roll out training for ICT Security Awareness and Data Protection Awareness to all employees and members	Information Governance Board	31 October 2015, and then every two years
Carry out a review of storage and archiving and make recommendations to CLT	Information Governance Board	31 st December 2015
Deliver an annual Data Protection work programme to ensure that changes in legislation and practices are reflected in Council procedures	Information Governance Board	30 th June 2016, and then annually
Identify Information Asset Owners	Business Support Manager	Completed

Action	Owner	Target Date
Implement Clear Desk Policy	Information Governance Board	Completed
Create Information Asset Register	Business Support Manager	Completed
Identify Training Policy & training needs	Information Governance Board	Completed
Introduce a Document Retention Policy	Solicitor	Completed
Review structure of network drives	Joint ICT Manager	Completed

GOVERNANCE & RESOURCES COMMITTEE

16 JULY 2015

Report of the Head of Resources

**REVENUES AND BENEFITS SERVICES AND INVOICE PROCESSING
CONTRACT - PERFORMANCE REPORT**

SUMMARY

This report outlines performance under the Revenues and Invoice Processing Contract since the service was transferred to Arvato on 1st June 2013.

RECOMMENDATIONS

That the report be noted.

WARDS AFFECTED

All

STRATEGIC LINK

The work provided under this contract supports the District Council's Corporate Plan aim to provide excellent services, and contributes to the achievement of the corporate savings target.

1 BACKGROUND

1.1 On 24 January 2013, Council resolved:

“That the Council agrees in principle to entering into a contract with Arvato UK and Ireland (Public Sector) for the provision of revenues and benefits services and invoice processing.”

1.2 Arvato offered:

- a saving of approximately 11% over the life of the contract, which equates to approximately £84,000 per year.
- to deliver services at current performance levels from the start of the contract, and promises continual service improvement over the life of the contract.
- improved service resilience through partnership working in order to mitigate the current risk of running extremely lean operations.

- employment protection for current employees – the contract will guarantee equivalent employment commitments in accordance with the Transfer of Undertakings – Protection of Employment (TUPE) Regulations.
- 1.3 The contract was subsequently drawn up and the service transferred to Arvato with effect from 1st June 2013. The contract period is coterminous with their contract with Chesterfield Borough Council, i.e. to October 2020. The following services are included:
- The administration, billing and recovery of Council Tax
 - The administration, billing and recovery of National Non-Domestic Rates
 - The administration, billing and recovery of sundry debts and miscellaneous income.
 - Benefits administration.
 - Benefits fraud investigation.
 - Processing of invoices, including related functions such as preparation of the V.A.T. return.
- 1.4 As agreed in the contract, the majority of staff re-located to Chesterfield in June 2014, with a residual service in Matlock to deal with customer enquiries.

2 PERFORMANCE REVIEW

- 2.1 The Service Level Agreement with Arvato set out the Key Performance Indicators (KPIs) that would be used to monitor the service. The contract allows for financial penalties to be invoked if the performance does not meet the target. The actual performance in each financial year are summarised in the table below:

Service	2013/14		2014/15	
	Achieved	Not Achieved	Achieved	Not Achieved
Revenues	9	0	7	1*
Benefits	5	0	5	0
Accounts Payable	5	0	5	0
TOTAL	19	0	17	1

Collection of Council Tax and Business Rates as well as processing of benefits claims are vital performance measure to the Council.

KPI	Target	2013/14	2014/15
Percentage of Council Tax collected within the year	98.2%	98.3%	98.14%*
Percentage of NNDR collected within the year	97.3%	97.6%	97.36%
Average time for processing new HB/CTS claims	28 days	18.2 days	27.08 days
Average time for processing changes in circumstances	8 days	4.1 days	7.36 days

*It can be seen from the tables that all KPIs have been achieved for both financial years, with the exception of “Percentage of Council Tax Collected within the year” for 2014/15. The actual performance for this KPI was only marginally below the target. As there were mitigating factors (council staff had had difficulties in posting some payments to customers’ accounts, which had delayed recovery), it was agreed that a financial penalty would not be invoked on this occasion.

- 2.2 The Revenues and Benefits teams have been supported by the wider arvato teams, particularly since the relocation of the services to Chesterfield in 2014. This added resilience has been particularly important in meeting tight deadlines for submitting important government returns.

The Benefits team administer the Discretionary Housing Payments (DHP) claims and the Council Tax Support (CTS) payment schemes on behalf of the Council with full has been made of the available funding to ensure that the most vulnerable residents are supported. The team has a good working relationship with the Council’s Housing Section and outside agencies such as Dales Housing Ltd and the Citizens Advice Bureau which is reaffirmed by positive feedback.

Staff embraced the move to arvato and were supported by the wider arvato team. All employees completed the ‘Lean Six Sigma White Belt’ training which encouraged them to question processes with consequent improvements being implemented. All staff are due to attend ‘The Art of Brilliance’ training in July which will further aid their development. One staff member has recently successfully completed the ‘Institute of Customer Services’ award.

In Accounts Payable the team have worked with council colleagues to increase the number of invoices paid electronically, minimise production of cheques and reduce payments being delayed in departments. The team has introduced several initiatives to improve efficiency within processes, following a service review undertaken in the early stages of the partnership. Similar improvements have been implemented in Accounts Receivable.

The Department for Works and Pensions (DWP) Housing Benefit Subsidy claim for 2013/14 was unqualified and a testament to the hard work of the team.

3 RISK ASSESSMENT

3.1 Legal

There are no legal risks arising from this report.

3.2 Financial

Payments made under the contract match the original proposal and are on track to realise the financial saving of approximately £84,000 per year until October 2020. The financial risk is, therefore, low.

4 OTHER CONSIDERATIONS

In preparing this report the relevance of the following factors is also been considered preventi

5 CONTACT INFORMATION

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6 BACKGROUND PAPERS

None

7 ATTACHMENTS

None

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
16 JULY 2015

Report of the Head of Regeneration and Policy

PROMOTING EQUALITY: EQUALITY PLAN 2015 - 2016

SUMMARY

The District Council publishes an Equality Plan each year which sets out how the District Council will meet its public sector equality duties. This report sets out for Members consideration progress against the actions set out in the Equality Plan 2014-15. It also seeks Members approval for the Equality Plan 2015 - 2016.

RECOMMENDATIONS

1. The updated equality information published in January 2015 be noted
2. Progress towards the District Council's equality objectives during 2014 – 2015 be noted
3. Priority Equality Impact Assessments for 2014 - 2015 be noted
4. The Equality Plan 2015 - 2016 be approved.

WARDS AFFECTED

All

STRATEGIC LINK

The District Council has a statutory duty to pay due regard to the need to eliminate discrimination, harassment and victimisation; advance equality of opportunity; and encourage good relations between different groups of people. As set out in its Equality and Diversity policy, the District Council is committed to reducing inequalities, and promotes treating people fairly is one of its core values. The Equality Plan will help the District Council meet its statutory duty and positively progress equalities as an employer and public service provider. Meeting the Equality Duty and other provisions of the Equality Act 2010 will support the District Council's aims to: lead the communities of the Derbyshire Dales; improve quality of life; and provide excellent services.

1 BACKGROUND

- 1.1 The District Council has a comprehensive Equality and Diversity policy in place which provides the context for the Equality Plan.¹

¹ <http://www.derbyshiredales.gov.uk/your-council/policies-plans-a-strategies/equality-a-diversity-policy>

- 1.2 The Equalities statutory duty comprises a general equality duty and specific duties. The District Council must comply with both. The general duty requires the District Council to have due regard, in the exercise of all its functions, to the need to:
- Eliminate discrimination, harassment and victimisation;
 - Advance equality of opportunity between all persons;
 - Foster good relations between all persons.
- 1.3 The District Council must therefore ensure consideration is given to the aims of the Duty in all its decisions. The paragraph on 'other considerations' at the end of every committee report reminds Members that although officers have had regard to equality issues when preparing reports, Members should also consider equality issues in order to meet the Equality Duty.
- 1.4 The specific duties require the District Council to publish:
- Equality information (annually) about its workforce and service users, to demonstrate compliance with the general Equality Duty;
 - Equality objectives (drawing on this information) at least every four years, that it needs to achieve to meet the aims of the general equality duty, focusing on its priority equality issues.
- 1.5 An update on activity being undertaken to ensure compliance with the public sector Equality Duty is set out in Section 2 below.

2 PROGRESS DURING 2014 - 2015

Equality Information:

- 2.1 The District Council published updated equality information on 31 January 2015, which can be found on the District Council's website². A proportional approach continues to be taken, given the Council's limited resources, with a particular focus on updating service user satisfaction data disaggregated by relevant protected groups.
- 2.2 During 2014 - 2015, additional measures were put in place to capture further information about those accessing District Council services and their satisfaction with them as follows:
- The new leisure management system is now able to provide additional information about leisure centre users
 - The waste contract provider (Serco) is carrying out surveys to provide further service take-up and satisfaction data, disaggregated by relevant protected groups.

² http://www.derbyshiredales.gov.uk/images/documents/E/Equality_Information_2015.pdf

Equality Objectives:

2.3 The District Council set three main equality objectives in 2014 – 2015 for which there were eight targets; of these seven were fully achieved and one partially achieved. Setting targets helps us measure the progress we are making against our objectives. Progress is measured and reviewed using the District Council's established 'traffic light' performance management system. Progress is set out in Appendix 1.

2.4 The seven targets that were fully achieved are:

- Provide adaptations to the homes of 35 disabled people
 - Adaptations were provided to the homes of 36 disabled people
- Produce 4 group assessments of the housing needs of vulnerable people
- Support 115 vulnerable households to access social, training and employment opportunities through an enhanced signposting service
 - 142 referrals were made through the 'Great Escape' project at March 2015 (101 individuals supported 2013 - 2014 plus 41 individuals from March to November 2014)
- Provide a further 9 apprenticeships opportunities across the District Council services
- Implement a new on-line booking system for leisure centres
 - A new on-line bookings and payments system for leisure centres was implemented in March 2015
- Deliver a minimum of 3 consultation exercises with hard to reach groups
- Delivery of the programme of agreed priority Equality Impact Assessments is an ongoing process monitored by Corporate Leadership Team

2.5 The one target that was partially achieved is:

- Provide support to a further 10 people under 25 interested in starting a new business
 - 5 young people under 25 years of age were supported

Equality Improvement Actions:

2.6 Of the eight equality improvement actions, six were completed and two have been rolled forward to 2015.

2.7 The completed actions are:

- Collect additional equality monitoring information on service users including leisure and waste
 - Service user and satisfaction data is being captured by Serco
 - New on-line booking system for leisure services will capture service user data

- Equality as a standing item on agendas
- Procurement Strategy finalised
 - Equalities are considered within the Procurement Strategy
- New engagement opportunities with young people have been identified
- Cumulative impacts of service reviews and decisions are considered by Corporate Leadership Team in an ongoing process
- The Personal Development Review procedure was revised and the process of service planning reviewed in 2014 – 2015

2.8 Two actions are rolled forward to 2015:

- Training session delivered improving understanding of equalities issues
 - Training for managers will be delivered in 2015
- Revised Equality Impact Assessment form prepared
 - EIA form to be revised in 2015

2.9 Progress will continue to be monitored by Corporate Leadership Team.

Equality Impact Assessments:

2.10 Individual services are responsible for undertaking EIAs (with guidance from the part-time Policy Officer) and implementing agreed actions to help minimise impacts on protected groups.

2.11 Progress on priority EIAs:

- Local Plan – rolled forward to 2015
- Housing Strategy
- Health & Wellbeing Strategy – rolled forward to 2015
- Review of Markets – withdrawn
- Employee policies – completed
- Internal service reviews - completed
- Future Spending Plans - completed

2.12 It is proposed that the following service areas be subject to an EIA during 2015 - 2016 to ensure that due regard is had to equalities issues prior to any significant decisions being made:

- Review of Bring Sites
- Wheeled Bins Charging
- Public Conveniences – second review
- Taxi Licensing Policy
- Health & Wellbeing Strategy
- Local Plan
- Council Tax Support Scheme 2016-17 (if required)
- Equality Plan 2015-2016
- Corporate Plan 2015-16
- Capability Procedure - review

- Family Friendly Policy
- Budget
- Leisure Review
- Events Strategy

Internal service reviews:

- Leisure
- Transformation
- Development Management
- Housing
- Environmental Health
- Licensing

2.13 To help demonstrate 'due regard' within decision making, a programme of priority Equality Impact Assessments (EIAs) is identified each year. Completed EIAs are an important component of the District Councils decision making process and summarised for Members consideration when new or revised policies are being considered. Completed EIAs are also published on the District Council's website to demonstrate compliance with the Equality Duty.

3 EQUALITY PLAN 2015 - 2016

3.1 Treating everybody fairly is a core value of the District Council. Our Equality and Diversity Policy demonstrates the Council's commitment to promoting both fairness and equality as a public service provider and employer.

3.2 The Equality Plan 2015 – 2016 (Appendix 3) and associated Action Plan (Appendix 2) sets out how the District Council will meet this commitment; and responsibilities under the Equality Duty; and how consideration of equalities is embedded into everything the Council does. The Plan includes:

- summary information about the Derbyshire Dales community
- how the District Council takes account of equalities in the decisions it takes and a programme of priority EIAs for the coming year
- the District Council's equality objectives up to 2016 and the proposed targets set to measure progress towards them (drawn from service plans)
- our equality improvement actions.

3.3 The plan also considers future training activity. Refresher training for managers is planned for 2015 which will incorporate the District Council's equality objectives, gathering equality information and carrying out Equality Impact Assessments.

3.4 Equality and diversity awareness training is mandatory for all elected Members, and will be delivered on 6, 20 and 27 July 2015. This will assist Members understand both the business case for promoting equality and diversity in service delivery and as an employer, and the District Council's statutory duties under the Equality Act 2010.

4 RISK ASSESSMENT

4.1 Legal

Under the provisions of the Equality Act 2010, the District Council has specific statutory duties (see 1.2 – 1.4 of this report). All decisions taken by the Council, all services provided or enabled by the Council and all personnel functions of the Council are required to take account of this duty. Failure to comply with the equality duty would render the Council open to legal challenge. This is an area that continues to be used in order to challenge decisions that councils have made. In a previous case the Courts have said that *“The real question was whether there was a conscious directing of the mind of the Councils' decision-makers to their obligations under the [equality] legislation and in particular to the need to exercise the duty to have due regard in substance and with rigour and based on sufficient information appropriately analysed”*.

This was reinforced in July 2014, in another judgement which found that insufficient equality impact analysis on all protected groups had led to flawed decision making: *“On the evidence, I cannot but find that the Council was in breach of its section 149 duty. That duty is important; and, had the Council been rigorous in satisfying its obligation to have due regard to the relevant characteristics, then, again, it may not have proceeded with the unlawful course that it followed”*.

The activity within the report will help reduce this risk. However, this area is still considered to be a medium legal risk in light of the requirement to demonstrate that councils have applied their mind to the obligations and the on-going work to address gaps in equality information (see 2.2).

4.2 Financial

No resources have been made available by the Government to assist with work to meet the Equality Duty therefore a proportionate approach continues to be taken to meeting the requirements. Other than officer time, the cost of complying with the Duty and the actions identified can be contained within existing budgets. Therefore the financial risk is low. However, the costs of not complying with the legislation could be severe.

4.3 Corporate Risk

Progressing the activity identified within the report will help reduce the risk of legal challenge; enforcement action for non-compliance with statutory equality duties; and potential loss of good reputation. The risk of failing to take adequate account of equalities issues in policies and decisions is scored 12 in the District Council's Risk Register.

OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

CONTACT INFORMATION

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ATTACHMENTS

Appendix 1	Equality Objectives 2012-15
Appendix 2	Equality Plan 2015 – 2016: action plan
Appendix 3	Equality Plan 2015 – 2016

BACKGROUND PAPERS

None

BACK TO AGENDA

Equality Objectives 2012-15

PROGRESS TOWARDS 2014 -2015 EQUALITY TARGETS, March 2015

Summary of Progress		
Status	Number	%
GREEN	7	88%
AMBER	1	12%

Objective 1: Enhance opportunities for vulnerable people to access suitable housing and to live independently at home for longer			
Service	Target		Risk
Private Sector Housing	Provide adaptations to the homes of 35 disabled people by March 2015 (Also Corporate Plan target)	Adaptations funded by Disabled Facilities Grants have been completed in the homes of 36 people.	G
Housing	Produce 4 group needs assessments of the housing needs of vulnerable people	Achieved	G
Housing	Support 115 vulnerable households to access social, training and employment opportunities through an enhanced signposting service, helping them to move on from supported accommodation by March 2015	142 referrals were made through the 'Great Escape' project at March 2015 (101 individuals supported 2013 - 2014 plus 41 individuals from March to November 2014).	G

Objective 2: Work with partners to help enable more young people to access employment opportunities in the Dales			
Service	Target		Risk
Corporate Leadership team	Provide a further 9 apprenticeship opportunities across District Council services	Achieved	G

Objective 2: Work with partners to help enable more young people to access employment opportunities in the Dales			
Service	Target		Risk
Economic Development	Provide support to a further 10 people under the age of 25 interested in starting a new business by March 2014	5 people under the age of 25 interested in starting a business had been supported by Derbyshire Dales Business Advice.	A

Objective 3: Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users			
Service	Target		Risk
Leisure	Implement an on-line bookings and payments system for leisure centres by March 2015	On-line booking system in place at March 2015.	G
Policy	Deliver a minimum of 3 consultation exercises with hard to reach groups by March 2015	Achieved	G
Policy	Agree and progress the corporate programme of Equality Impact Assessments for 2014 - 2015	Ongoing with progress monitored by Corporate Leadership Team	G

EQUALITY PLAN 2015 – 2016: ACTION PLAN

APPENDIX 2

Equality Objectives	Actions	Performance Measures / Targets	Lead	By when
Objective 1: Increase affordable housing	Improve housing opportunities for vulnerable people	Provide adaptations to the homes of 35 disabled people	Head of Regulatory Services	March 2016
		Support 130 social housing tenants affected by Welfare Reform to access financial and budgeting advice by March 2016, and where necessary, help move home	Head of Housing	March 2016
Objective 2: Increase business growth and job creation	Help new businesses to start	10 people under the age of 25 supported in starting a new business	Head of Regeneration and Policy	March 2016
Objective 3 Maintain street cleaning, waste collection, safe and healthy communities	Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users	% of people very or fairly satisfied with household refuse collection	Serco / Head of Environmental Services	March 2016
	Agree and progress the corporate programme of priority Equality Impact Assessments for 2015-16	Programme for 2015-16 completed including: <ul style="list-style-type: none"> • Review of Bring Sites • Charging for wheeled bins 	Heads of Service	March 2016

Equality Objectives	Actions	Performance Measures / Targets	Lead	By when
		<ul style="list-style-type: none"> • Public Conveniences – second review • Taxi Licensing Policy • Health & Wellbeing Strategy • Local Plan • Council Tax Support Scheme 2016-17 • Equality Plan 2015-2016 • Corporate Plan 2015-16 • Capability Procedure - review • Family Friendly Policy • Budget • Leisure Review • Events Strategy 		
	Service Reviews – any potential equality impacts to be identified through EIAs	<ul style="list-style-type: none"> • Service Reviews <ul style="list-style-type: none"> - Leisure - Transformation - Dev management - Housing - Environmental Health - Licensing 	Heads of Service	Ongoing

Corporate Equality Performance Indicators 2015-2016

Service	Priority	Performance measures / Targets	CP ref	Action / target	Lead	By when
Housing	CP1	TA2 Improve housing opportunities for vulnerable people	CORP2	Support 130 social housing tenants affected by Welfare Reform to access financial and budgeting advice by March 2016, and where necessary, help move home	Head of Housing	March 2016
			CORP3	Provide adaptations to the homes of 35 disabled people by March 2016	Head of Regulatory Services	March 2016
Environmental Services	CP3 Maintain street cleaning, waste collection, safe and healthy communities	% of people very or fairly satisfied with household refuse collection	PS8(b)	91%	Head of Environmental Services / Serco	March 2016
Economic Development & Tourism	CP2 Increase business growth and job creation	No. of people under the age of 25 supported in starting a new business	ED1	10	Head of Regeneration & Policy	March 2016

Service	Priority	Performance measures / Targets	CP ref	Action / target	Lead	By when
Environmental Services	CP1 Increase affordable housing	Replace car parking machines and undertake alteration work to comply with disability requirements	PSS6		Head of Environmental Services / Parks & Streetscene Manager	Ongoing
Environmental Health	CP1 Increase affordable housing	Number of households in fuel poverty who received assistance through the Healthy Homes project	EH7	50	Head of Regulatory Services	March 2016
Housing	CP1 Increase affordable housing	Produce 4 group assessments of the housing needs of vulnerable groups people		4	Head of Housing	March 2016
	CP1 Increase affordable housing	No. of vulnerable households supported to access social, training and employment opportunities through an enhanced signposting	HP2	115	Head of Housing	March 2016

Service	Priority	Performance measures / Targets	CP ref	Action / target	Lead	By when
		service, helping them move on from supported accommodation				
Estates & Facilities Management		% of Council buildings open to the public in which all public areas are suitable for and accessible to disabled people	BV 156	82%	Head of Resources / Estates & Facilities Manager	March 2016



Equality Plan 2015 – 2016

1. Introduction

Derbyshire Dales Council has statutory duties under the [Equality Act 2010](#) which should be considered across all the Council's public functions. The Act defines a range of 'protected characteristics':

- Age
- Religion or belief (including non-belief)
- Disability
- Pregnancy and maternity
- Gender reassignment
- Sex / gender
- Marriage and civil partnership (with regard to discrimination)
- Sexual orientation
- Race

The [Equality Act 2010 S.149](#) sets out three broad aims in the form of a statutory general equality duty which requires the Council to have due regard to the need to:

- Eliminate discrimination, victimisation and harassment
- Advance equality of opportunity
- Foster good relations between different groups

The [Equality Act 2010 \(Specific duties\) Regulations 2011](#) set out further specific duties for public bodies which support delivery of the three aims of the general equality duty. These require the Council to:

- Publish annually equality information about its workforce and service users
- Set equality objectives and specify the steps it will take to achieve them, at least every four years

The Equality Plan 2015 – 2016 supports delivery of the Council's equality duties and therefore sets out:

- How the Council takes account of equalities issues in the decisions it makes
- An overview of the Derbyshire Dales community
- The Council's equality objectives and the steps it is taking to achieve them
- Equality performance indicators used by the Council to monitor its progress
- Equality improvement actions for the year ahead

2. Equality and Diversity Policy

Treating everybody fairly is a core value of Derbyshire Dales District Council. The Council's commitment and approach to promoting equality as a public service provider and employer is set out in its [Equality & Diversity Policy](#).

The [Dignity and Respect for All](#) policy aims to encourage people living, working and visiting the Derbyshire Dales to show consideration to one another and to treat each other fairly.

3. Equality Impact Assessment, Monitoring and Engagement

To inform its decision making and ensure that its policies and practices are fair, the Council undertakes [Equality Impact Assessments](#) where relevant and proportionate.

It also carries out equalities monitoring of its policies and practices, where appropriate, to ensure that everyone is treated fairly. Monitoring data is published annually as part of its [Equality Information](#).

The Council actively seeks feedback from its customers and staff to ensure effective consultation about its services and plans. It has a [Consultation and Engagement Strategy 2014-2019](#) which sets out the ways in which it will engage with those living, working and visiting the District to improve services.

4. The Derbyshire Dales Community

The 2011 Census and other data provides the following picture of the Dales ([ward profiles and other equality information](#) published annually on the Council's website is also available):

- **Sex (gender)** – Of the population of 71,116, 49.3% of residents are male and 50.7% female (similar to the national position)
- **Age** – the district has an ageing population. People aged 65 and over make up 22.3% of the population (the highest in Derbyshire) compared to 16.3% in England. The under 25s make up 25.3% of the population (the lowest in Derbyshire) compared to 30.8% in England. 61.1% are of working age (16-64 years). The District's older population is forecast to grow at a much higher rate than nationally over the next 20 years
- **Disability and long term ill health** – people whose day to day activities are limited make up 18.5% of the population compared to 17.6% in England. In addition, 12.7% of local people provide unpaid care compared with 10.2% in England. Levels of daily activity limitation are significantly higher among those over 60 years of age.

- **Race** – 96.8% of residents are White British compared to 79.8% in England. A further 1.8% are from other white backgrounds (particularly Eastern European backgrounds)
- **Marriage and civil partnerships** – 54.8% are married compared with 46.6% in England and 0.3% live within same sex civil partnerships (similar to national position)
- **Pregnancy & Maternity** – since 2001 there has been a 2.4% increase in births (half the Derbyshire average) compared to 7.9% in England
- **Religion or Belief** – 68.7% of residents describe themselves as Christian compared with 59.4% in England. 23.2% declared no religious belief compared with 24.7% in England
- **Sexual Orientation** – The exact number of lesbian, gay or bisexual people living in the Derbyshire Dales is not known. The Government estimate is 5-7% of the population which equates to between 3,500 - 5,000 people in the Derbyshire Dales. Census 2011 data shows that 187 persons in the Dales were in a same sex civil partnership (0.3% of all persons over 16 years of age)
- **Gender Reassignment** – Derbyshire Friend (the main local organisation supporting the LGBT community) has previously estimated that between 150 - 200 people in Derbyshire identify themselves as Transgender

Socio-economic Issues:

- **Unemployment** – Derbyshire Dales has an unemployment rate of 0.6% (270 persons) compared with 2.0% for England and is the lowest in Derbyshire. 18.5% of those unemployed in the District are under 25, compared with 22% for England (DWP Claimant Count, February 2015)
- **Wages** – at £475.30 per week, average earnings by workplace from full time jobs in the Dales are lower than the England average of £520.20 p/w (ASHE, 2014).
- **Deprivation** – the majority of the Dales falls within the 50% of least deprived areas nationally (Indices of Multiple Deprivation, 2010). Hurst Farm, within Matlock St Giles ward is within the 20% most deprived areas nationally. Regarding barriers to housing and services (including affordability, homelessness and overcrowding, and access to key local services e.g. shops, post offices and GPs), 16 of Derbyshire's 35 Lower Super Output Areas within the worst 20% nationally are in the Derbyshire Dales.
- **Debt** - Debt issues within the Dales remain a real concern. The Council's [debt service](#) (which is provided by the CAB) supported 162 social housing tenants in the Dales during 2014 - 15, managing £1,451,774 of debt. Derbyshire Dales CAB received [1333 general enquiries about debt from Dales' residents in 2013-2014](#).
- **Fuel poverty** – 3560 households experienced fuel poverty in 2013, constituting 11% of all Dales' households (DECC, May 2015).
- **Child poverty** - Despite a small increase of 0.2% on the previous year, overall child poverty rates in 2011 remained lower in Derbyshire Dales (10.1%) than regionally (18.4%) or nationally (20.1%), and were the lowest in Derbyshire (ONS, Local Profiles – Child Poverty, 2013).

5. Equality Objectives

The [Corporate Plan](#) is the key strategy from which the District Council's other strategies, plans and policies cascade. The priorities for the Council for 2015 – 2016 are to:

- Increase affordable housing Identify and deliver new affordable housing sites
 - Improve housing opportunities for vulnerable people
- Increase business growth and job creation
 - Help new businesses to start
 - Help existing businesses to grow
 - Promote key development sites

These helped shape our equality objectives:

- Enhance opportunities for vulnerable people to access suitable housing and live independently at home for longer
- Work with partners to help enable more young people to access employment opportunities in the Dales
- Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users

Targets are set each year and integrated within service plans to help measure progress towards these objectives. Our equality objectives and targets for 2015 - 2016 are set out in the associated action plan. This action plan also includes other corporate equality performance indicators used to monitor the Council's progress in promoting equality,

6. Equality Improvement Actions

The action plan sets out the equality improvements identified for 2015 - 2016.

Refresher training for managers is planned for 2015 which will incorporate the Council's equality objectives, gathering equality information and carrying out Equality Impact Assessments.

Equality and diversity awareness training is mandatory for all elected Members and will be delivered on 6, 20 and 27 July 2015. This helps Members understand both the business case for promoting equality and diversity and the Council's statutory duties under the Equality Act 2010.

7. Monitoring and Review

Progress on this Equality Plan will be monitored by the Corporate Leadership Team (Heads of Service, Corporate Directors and the Chief Executive Officer) and reported bi-annually to Members. The Equality Plan will be available to the public via the Council's website and the action plan will be updated periodically.

Corporate performance indicators will be monitored by the identified service manager and reported via the service planning and review process.

8. Further Information

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GOVERNANCE AND RESOURCES COMMITTEE
16th JULY 2015

Report of the Chief Executive

RISK MANAGEMENT – CHIEF EXECUTIVE’S ANNUAL REPORT

SUMMARY

The Council’s Risk Management Strategy requires the Chief Executive to report to Members, by way of an annual report on the Council’s Risk Management arrangements and how Key Strategic Risks are being managed.

This report describes the processes and working practices, which have been now been embedded following an extensive review and refresh exercise during 2013. This will ensure risk management arrangements continue to be effective, timely and fit for purpose, providing the Council with the correct levels of insight and support in relation to its risk exposure.

RECOMMENDATION

That the report be noted.

WARDS AFFECTED

Not applicable

STRATEGIC LINK

Effective Risk Management provisions enable significant risks to be identified, controlled and monitored so contributing to the provision of excellent services.

1 REPORT

- 1.1 The Annual Report is attached as Appendix 1.
- 1.2 The report illustrates the strategic risks and scores them as high (red), medium (yellow) or low (green). The report also shows the actions that are planned to mitigate or reduce the risks.

2 RISK ASSESSMENT

2.1 Legal

The report documents an effective system of risk management, which aims to identify, control and mitigate risk. Whilst not all risk can be mitigated, the measures currently in place provide for low legal risk.

2.2 Financial

There are no financial risks arising from this report.

4. OTHER CONSIDERATIONS

In preparing this report the relevance of the following factors has also been considered: prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial, personnel and property considerations.

5. CONTACT INFORMATION

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6. BACKGROUND PAPERS

None.

7. ATTACHMENTS

Appendix 1 Risk Management Annual Report

BACK TO AGENDA

GOVERNANCE & RESOURCES COMMITTEE
16 JULY 2015

Report of the Head of Resources

JOINT ICT SERVICE STRATEGY 2014-2017 AND DDDC ICT STRATEGY 2015-2018

SUMMARY

The Joint Information and Communication Technology (ICT) Service Strategy is a plan for the joint service provided to Derbyshire Dales District Council, Bolsover District Council and North East Derbyshire District Council.

The DDDC Information and Communication Technology (ICT) Strategy is a plan for the ICT software and hardware changes that the District Council will make over the coming years in order to support its corporate and service plans.

RECOMMENDATIONS

1. That the Joint ICT Service Strategy 2014-2017 be adopted.
2. That the Derbyshire Dales District Council ICT Strategy 2015-2018 be adopted.
3. That Council be requested to approve the funding for the ICT Investment Plan from the Technology Renewals Reserve and the Invest to Save Reserve.

WARDS AFFECTED

All

STRATEGIC LINK

The ICT strategy supports the District Council's Corporate Plan aim to provide excellent services, and contributes to the delivery of all corporate priorities.

1 BACKGROUND

- 1.1 The District Council is part of the Joint ICT Service which is a shared service partnership between three district councils: Bolsover, Derbyshire Dales and North East Derbyshire. The Joint ICT Service started on 1 January 2010, with Bolsover joining on 1 January 2011. A Service Level Agreement governs the Joint ICT Service, and there is a Joint Management Team (officers) and Shared Service Committee (members) providing oversight.
- 1.2 The three key aims of the Joint ICT Service are:
 - User satisfaction will continue to improve
 - Cost per user for ICT Service will reduce or stay the same for the same or better service
 - Provide a platform for delivery of shared solutions, shared expertise and future shared services.

- 1.3 A joint ICT strategy is in place for the partnership as a whole, that covers common issues such as service delivery, procurement, business planning, financial management, governance and risk management. However, all three partners have developed their own ICT strategy that addresses local service and technology issues to support their own corporate priorities.

2 JOINT ICT SERVICE STRATEGY

- 2.1 The previous Joint Service ICT Strategy has expired. A draft strategy for 2014-2017 is shown in Appendix 1. The revised strategy has already been approved by Bolsover District Council and North East Derbyshire District Council.

- 2.2 The draft Joint Service ICT Strategy 2014-2017 sets out the framework for delivering and managing the joint service. Now that the joint service is embedded within the three councils, the focus has moved to the transformation agenda (“channel shift”).

- 2.2 Key points include:

- The fundamental principle is that ICT users will receive an improved service, increased capability and flexibility in capacity to meet demand;
- The Joint ICT Service will consider cloud solutions where they are judged to be cost-effective, but the Government’s G-Cloud will be the first point of call (see paragraph 7.1 of the strategy);
- “Bring Your Own Device” and other forms of mobile working will be implemented where they are cost effective and the security problems can be overcome (paragraph 7.2);
- The joint ICT service will help all three councils as they embrace channel shift as part of the transformation agenda (paragraph 7.5);
- There is now a broadly common infrastructure across the three Councils. However, some key changes will be required over the period covered by the strategy, for example, the withdrawal of support for Windows 2003 and the end of support for Office 2007 (paragraph 8.1);
- The rationalisation of infrastructure across the three partners has led to cost savings, while making it easier for ICT staff to offer support to users (paragraph 8.2);
- Funding for the joint ICT service is agreed annually in advance as part of the budget setting process;
- A series of performance indicators is used to monitor performance and each council has its own IT user group;
- The joint ICT service maintains a risk register;
- The governance arrangements are set out in section 15 of the strategy.

3 DERBYSHIRE DALES DISTRICT COUNCIL ICT STRATEGY

- 3.1 The draft Derbyshire Dales ICT strategy is appended to this report at Appendix 2. This council-specific strategy focuses on the service improvements, both in systems and hardware that the District Council will be focusing on over the next two years. It highlights services where IT-related improvements are sought, and areas where technology will need to be replaced due to expiry of licences or simply becoming obsolete. Other opportunities are also detailed.

- 3.2 Key points include:
- The introduction of an Electronic Document Management System (2015/16 and 2016/17);
 - The introduction of self-service modules for the Human Resources system (2015/16 and 2016/17);
 - Possible replacement of the telephony system in 2017;
 - The extension of agile working;
 - The extension of channel shift;
 - Rolling replacement of desktop / laptop computers and iPads for officers and members, as resources allow, with further deployment of 'virtual desktop' and 'remote access' solutions to aid flexible working;
 - Replacement of servers and storage devices;
 - Replacement of the joint disaster recovery solution in 2016.
- 3.3 An Investment Plan which supports the strategy is shown at Appendix B of the Strategy, showing possible expenditure required in the strategy period. This expenditure has been included in the current Capital Programme and is funded from the Technology Renewals Reserve and the Invest To Save Reserve.
- 3.4 The Technology Renewals Reserve has a balance of £626,654 as at 1st April 2015, which is sufficient to cover all anticipated future requirements.

4 RISK ASSESSMENT

4.1 Legal

These ICT Strategies form plans to ensure that there is adequate technology to support District Council services. The legal risk is low.

4.2 Financial

The ICT Renewals Reserve has a balance of £626,654 as at 1st April 2015, which is sufficient for the projects outlined in the strategy. However, some of the projects are high value and, at this stage, precise costs are not known. Therefore, the financial risk arising from the ICT Strategy is assessed as "medium".

4.3 Corporate Risk

Adequate IT is required to support all the District Council's services and improvement priorities. ICT risks in the Corporate Risk Register range from low (3) to high (15). Implementing and reviewing the ICT Strategy is one method of controlling these risks.

5 OTHER CONSIDERATIONS

In preparing this report the relevance of the following factors is also been considered prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.

6 CONTACT INFORMATION

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7 BACKGROUND PAPERS

None

8 ATTACHMENTS

Appendix 1 Joint ICT Service ICT Strategy 2014-2017

Appendix 2 Derbyshire Dales District Council ICT Strategy 2015-2017

BACK TO AGENDA

Report of the Chief Executive

PROPOSAL TO CLOSE THE TOWN HALL BETWEEN CHRISTMAS AND NEW YEAR

SUMMARY

It is proposed that that the Town Hall closes between Christmas and New Year.

RECOMMENDATION

That Governance and Resources Committee agree that the Town Hall is closed on the 3 working days between Christmas and New Year, with effect from Christmas 2015.

WARDS AFFECTED

All

STRATEGIC LINK

The recommendation links to our priority to make savings to achieve a sustainable budget.

1 BACKGROUND

- 1.1 The Town Hall, Northwood Depot, Agricultural Business Centre (ABC) and Leisure Centres are currently open on the 3 working days between Christmas and New Year. For the Town Hall particularly, there is a reduction in demand for services with a significant reduction in visitors and incoming telephone calls.
- 1.2 A number of other Derbyshire Authorities now close between Christmas and New Year, so Corporate Leadership Team has been considering if the Town Hall should also close at this time.
- 1.3 This report covers the staffing and operational issues of a proposed closure. As with Easter weekend, when the Town Hall is closed for 2 days, some services would be affected by closing the Town Hall between Christmas and New Year. Corporate Leadership Team have considered and mitigated the impact of a closure on service delivery.

2 REPORT

- 2.1 On the 3 working days between Christmas and New Year, staff cover is minimal at the Town Hall given the wish of many staff to take leave over the holiday period. This is permissible due to a reduction in demand for services. In the past teams have taken care in to maintain minimal cover. On occasion, some staff leave the decision about Christmas leave until the last minute and therefore it can be a struggle to offer a proper service to our customers. Some staff prefer to work at this time.

- 2.2 Between Christmas and New Year 2014, few employees were in work. Working at this time enabled some to catch up when it was quiet. Other employees found it frustrating as they could not work normally given other colleagues, with whom they needed to liaise, were on leave.
- 2.3 Corporate Leadership Team are aware that some town halls in Derbyshire now close between Christmas and New Year, so considered if this could be appropriate for the District Council. Other Councils which close their Town Hall South Derbyshire, Amber Valley, North East Derbyshire and Bolsover.
- 2.4 If the Town Hall were to close, Corporate Leadership Team proposed that staff could use a mixture of annual leave, TOIL (time off in lieu) and flexi time to cover the three day period. Those on flexitime would be able to build up flexi time during December and January to allow them to take a maximum of 1.5 flexi days leaving the remaining 1.5 days to be taken as annual leave or TOIL. Some staff who are not on the flexi scheme (e.g. Customer Communications Team) have welcomed a closure given they would not be required to agree to rostered working time. Any staff required in advance to provide cover over the closure e.g. updating the website, remote monitoring of equipment or anyone called out in an emergency will receive time off in lieu.
- 2.5 Corporate Leadership Team therefore asked the Human Resources Manager to undertake an email staff opinion survey. Staff were asked 'should we close the town hall between Christmas and New Year?'
- 2.6 70% of the 147 staff based at the Town Hall responded to the survey. Of those responding 76.7% voted 'yes' to close the Town Hall between Christmas and New Year and 23.3% voted 'no'.
- 2.7 Staff comments raised by the survey and at the Employee Group Meeting on 20 May were considered by Corporate Leadership Team and responses fed back. The proposal, with full staff comments, was considered at Joint Consultative Group, on 23 June. Joint Consultative Group raised points of clarification on service delivery but resolved unanimously that Governance & Resources Committee be recommended to agree to close the Town Hall on the 3 working days between Christmas and New Year.
- 2.8 Following Joint Consultative Committee, the Corporate Leadership Team have had detailed discussions on the operational requirements of a closure. With mitigation strategies in place, they agreed to recommend that the Town Hall closes between Christmas and New Year as
- a) Communication about the closure and how to report emergencies will be communicated to residents and customers. This would commence in the autumn, through Dales Matters, the website, Twitter, Facebook, Community Forums and email notification to all Parish & Town councils.
 - b) Leisure Centres would open their Christmas/ New Year hours.
 - c) The ABC would operate normally.
 - d) The Northwood Depot would remain open with a reduced number of staff working to cover essential services e.g. litter bin emptying, public conveniences, burials etc.

- e) During the period of closure, callers to the main telephone number will hear a recorded announcement providing information to other sources of assistance and advise residents to check the website for additional information. The website will be reviewed and updated to provide additional information for all services and where appropriate availability of other services. Resident will be able to leave non-urgent messages on the answer phone.
- f) In adverse weather e.g. heavy snow make it either difficult to deliver or requires suspension of services such as markets or waste collection, the established Emergency Communications Plan will be activated through contact with the Chief Executive and key officers. This will involve messages being sent out via various channels such as Facebook, Twitter, E-newsletter, emails to Parish & Town Councils and Elected Members to communicate the action as widely as possible.
- g) For Housing and homelessness issues, the existing procedure for those who are homeless outside normal office hours, weekends and bank holidays will be put in place. The Homelessness Out of Hours contact number is available on the Councils website and will displayed on the main door (currently the number is displayed on the external notice board). Those requiring emergency accommodation are placed into temporary accommodation and contacted by the Housing Team on the next working day. The Out of Hours Service is provided by South Derbyshire District Council who operate the service on behalf of all Derbyshire District and Borough Councils.
- h) Waste and Recycling collections undertaken by Serco will continue to be carried out over the Christmas and New Year period. The normal pattern of collection over this period is that all rounds change from their scheduled collection day by one day either forward or backwards depending on the week. This has been known to generate a higher number of complaints than usual due to every collection round being disrupted. Even when residents have forgotten to put their container out for collection or not realised the day change it generates higher levels of calls with residents being concerned about storing larger quantities of waste over the festive period. Experience has shown that there is a much lower presentation rates on the day change because residents forget. To minimise the level of disruption and potential missed bins the collection days will be reviewed. It is proposed that rather than moving collections across the whole two weeks, the collection day will only change if the normal collection day falls on a Bank Holiday. This will only cause disruption on three days with all other collections remaining as normal.

To further limit the number of missed collections and disruption is it proposed that the garden waste service be suspended over the Christmas and New Year period (1 collection per household during this fortnight period). Presentation rates during this time are much lower and bins are generally not full. Accessing the disposal facility on Bank Holidays and on Saturdays can also be problematic. The recycling and food waste collections will remain unchanged. Refuse will be collected along with food waste over this two week period, resulting in residents receiving an additional refuse collection during these two weeks except for residents whose collection day is Christmas Day. These residents will only receive a fortnightly collection of refuse. In simple terms, both on the Christmas and New Year week residents (except Christmas Day) will receive a weekly refuse and weekly food and miss one collection of garden waste. These proposals are currently being worked up and providing that disposal sites are available the changes will be implemented this year.

- i) Serco do not have capacity to be able to handle the volume of calls received by the Council and therefore cannot receive calls directly without additional costs being incurred. The staff will be unavailable during the three day closure to take calls and therefore it is important that we manage residents' expectation through communication methods. A range of communication methods will be used to notify residents of the changes including an article in Dalesmatters in the autumn. In the event that residents are missed they will only have to go a further week until the next collection and additional waste will be taken from properties that are missed. The Customer Communication Team will start from around October time to notify residents contacting the council by phone of any changes to the services. Automated email responses to emailed complaints could also include a message directing residents to the website. The website will be updated to advise people what to do over the Christmas period if they are missed, in the event of snow and informed about other facilities that are available such as household recycling centres.
- j) Residents who want to report a missed bin via the switchboard answerphone will not be picked up until the council offices re-opens. Alternatively, residents will be able to report a missed bin on-line. Work is currently ongoing to look at whether or not the website form once completed can be transferred straight into Mayrise after which the contractor can gain access and directly retrieve the complaint taking appropriate action.
- k) Burial requests received before Christmas Eve will be booked in using the normal process and where requested will take place during the three day closure. A reduced number of staff will continue to work at the depot and therefore these requests can be accommodated in advance. New bookings will be available in early January. Funeral directors will be informed of the changes and an online request form will be developed to allow funeral directors to make an advanced enquiry.
- l) A number of the new car parking machines will be in place before Christmas. The new machines will be constantly downloading live information to a computer system and therefore any machines out of action can be picked up quickly and reported to the contractor for repair. The District Council also offers the free parking scheme throughout December (after 2pm) and therefore usage of machines is reduced.
- m) The Stray Dog Service is delivered by a private contractor 365 days per year. The contact details for the contractor are available to customer now via the switchboard answerphone, the website and the Police.
- n) In case of an Environmental Health emergency e.g. a food poisoning outbreak, Derbyshire County Council, through the established Derbyshire Emergency Planning Procedure, will notify Public Health England and our Environmental Health officers.
- o) The Estates and Facilities Manager has consulted the tenants of the Town Hall with regard to a possible closure. The Citizens Advice Bureau, Rural Action Derbyshire, Age Concern and the Derbyshire County Council Registrar are content with the proposed closure. Radio Derby is a key holder with access out of hours. Arvato and ICT Services have no objections to a proposed closure. In addition if there are any issue with Council property during a closure, the Estates and Facilities Manager would make sure that relevant managers e.g. at the depot &

leisure centres have the emergency contact details for the key contractors (building works, electrical, plumbing). He will also provide contractors with the names of managers who are authorised to give instructions for emergency works (without having to first raise an official order).

- p) In the event of an emergency, Derbyshire County Councils Emergency Plan would be implemented and a number of key officers contacted to respond to the emergency.
- q) It should also be noted that many private contractors used by the District Council such as Serco, Stray Dog Contractor, Car parking enforcement Company, Derwent Treescapes and Overton's all have direct contact numbers for officers within the Council and frequently contact them now out of normal office hours and on Bank Holidays. This practise would continue throughout the Christmas period.

3 RISK ASSESSMENT

Legal

There are no legal considerations arising from the report. The Council will however need to be able to provide critical services in emergency situations, which are covered by civil contingency plans. The legal risk is therefore low.

Financial

Closure of the Town Hall during this period should result in savings in lighting, heating and water costs. The financial risk is, therefore, assessed as 'low'.

4 OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

5 CONTACT INFORMATION

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6 BACKGROUND PAPERS

Report to Joint Consultative Committee 23 June 2015

7 ATTACHMENTS

None

BACK TO AGENDA

GOVERNANCE & RESOURCES COMMITTEE

Thursday 16 July 2015

Report of the Chief Executive

PROPOSAL TO END WEEKLY PAY AND FOR ALL STAFF TO BE PAID MONTHLY

SUMMARY

It is proposed to end the weekly payroll and for all staff to be paid monthly.

RECOMMENDATION

1. That Governance & Resources Committee agree to end the weekly payroll with effect from 6 December 2015 and for all staff to be paid monthly from December 2015 onwards.
2. That any staff who do not choose to go onto monthly pay earlier, are changed over by a dismissal and reengagement of contract with 3 months' notice.

WARDS AFFECTED

All

STRATEGIC LINK

Paying all staff on a monthly basis supports the priority to make savings to achieve a sustainable budget.

1 BACKGROUND

- 1.1 In 2014/15 the work in payroll increased significantly. Corporate Leadership Team therefore agreed to increase staffing on a temporary basis to cope with the change until efficiencies could be found.
- 1.2 As the increase in resource is temporary and not sustainable, the Human Resources and Payroll team have developed an Improvement Action Plan. The plan will hopefully enable the payroll service to return to working within its established hours.
- 1.3 This report considers one action on the action plan i.e. to end the weekly payroll and for all staff to be paid monthly. Other actions include the change to emailed payslips for staff and Members (which has drastically reduced the cost and the need to print and distribute paper payslips); training other staff to check and input into payroll increasing payroll resilience and redesigning timesheets so that essential payroll information is recorded/.

Joint Consultative Group, on 23 June, recognised the efficiencies and the resilience that would come from ending the weekly payroll in favour of all staff and Members being paid monthly. They recognised the support being offered and the excellent

response from staff to date. It was resolved unanimously to make the above recommendations to Governance & Resources Committee.

2 REPORT

- 2.1 In 2014/15 the work of the payroll service, the full time Payroll Manager and part time (21 hours) Payroll Assistant increased significantly. This was due to
- a) The change in the Local Government Pension Scheme (LGPS) with the introduction of 'CARE2014'. This change meant that Payroll are required to calculate and deduct pension contributions on all earnings (not just a set annual figure of 'pensionable pay'). In addition Payroll are required to produce increasingly complex reports from each weekly and monthly payroll for our LGPS administrators at Derbyshire County Council.
 - b) The introduction by Government of 'Automatic Enrolment' into a pension scheme when employees meet a set age and earnings threshold. This change requires Payroll to monitor earnings against the threshold of employees who have opted not to join the LGPS. Once thresholds are met Payroll are required to notify the employee, automatically enrol them into the scheme and notify the scheme administrators. If the employee then notifies that they do not wish to be in the pension scheme, Payroll are required to reverse the change, refund the contributions taken and notify the scheme administrators. The auto-enrolment legislation forbids asking the employee if they wish to be in the scheme before automatic deductions are taken, as this could be seen as the employer discouraging employees to take up this right.
 - c) The organisational restructure and admin review brought timesheet checking from the Depot into Payroll. This not only includes checking the timesheets but chasing queries. As a result another action in the Human Resources/ Payroll action plan has been to work with the Operations Manager and the Active Communities Officer to create a new timesheet. The new timesheet is easier for staff to complete and managers to approve but also reduces the number of queries and time spent chasing them in Payroll, making payroll inputting more accurate/easier/quicker.
 - d) In Leisure and at the Depot there has been an increase in the number of staff with more than one post and complex pay arrangements.
- 2.2 As a result of the increased Payroll work, Corporate Leadership Team agreed a temporary increase in Payroll staffing by 9 hours per week. In addition Payroll have been supported by the Internal Audit Apprentice checking work and the HR & Payroll Assistant training 7 hours per week as Payroll backup. Whilst this increased resource has been most welcome, it has only just enabled the staff to cope with the demands and it is not sustainable.
- 2.3 By all staff going onto monthly pay the benefits are
- a) Reduction in workload in Payroll hopefully back into the established hours. As the monthly payroll holds all basic pay, only the variations (overtime, allowances etc.) will require calculation, checking and inputting.

- b) Reduction in the time and cost of Payroll processing payment through the banking system (BACS), from 76 times) a year (i.e. from 52 weekly + 12 monthly staff + 12 monthly for Members currently to 24 (as we will retain the 15th payroll for current staff with all new staff and Members being paid on 25th to enable adequate processing time). Time and cost would also reduce in the Human Resources Manager and Finance approving the BACS and in finance processing and accounting for pay.
- c) Improve payroll resilience should one or both of the payroll team be off ill or a post become temporarily vacant. Currently all information (basic pay and variations) have to be input into the weekly payroll. The monthly payroll however holds the basic pay for all staff and would require only variations to be checked, calculated an input. Therefore if all staff were paid monthly, it would be possible to run a basic payroll should the Payroll Manager or Payroll Assistant fall ill or a post become temporarily vacant. This risk has been further mitigated by training the Human Resources & Payroll Assistant and the Internal Audit Apprentice in payroll checking work.
- d) Complete the 'single status' work for all staff to be paid monthly. In Clean & Green some staff working side by side are paid weekly and some monthly.

2.4 As a result, Corporate Leadership Team in December, approved that work should commence to enable the 134 weekly paid staff at that time to be paid monthly. Corporate Leadership Team recognised that this will be a big change for some staff, especially long serving staff who have been used to being paid and budgeting on a weekly basis. They therefore agreed that support will be available.

2.5 In April, the Chief Executive and Human Resources Manager met with the regional representatives of Unison and GMB to start consultation on the proposal. Given the regional representatives experience of other councils ending their weekly payrolls, they also sought the union representative's advice on the proposals for support.

2.6 Through the Union consultation the following was agreed that

- a) All new staff or anyone appointed into a new role will be paid on 25th month. In recent weeks this has reduced those affected to 103 staff.
- b) Staff should be able to choose when they go onto monthly pay, so as to avoid a month with high personal outgoings (e.g. payment for a holiday or car repairs)
- c) Staff should be able to have individual discussions with the Human Resources Manager or Human Resources Officer to discuss any individual concerns
- d) Human Resources have arranged for the Citizens Advice Bureau to provide advice on the change from weekly to monthly budgeting, on both an individual and group basis as requested
- e) All Members and new staff and staff appointed to new posts will be paid monthly. This will be on 25th of the month to enable Payroll to have enough time to process the payroll. Existing staff who remain in their current post will be able to remain on 15th payroll but be able to change to 25th if they wish. Although pay day is 25th each month, bank credit is on the preceding Friday if the 25th falls on a weekend/bank holiday and is paid early in December. Overtime will be paid one

month in arrears.

- f) If any individual experienced financial difficulty following the transition to monthly pay, or have worked overtime (which will now be paid a month in arrears) then they can request an interest free loan. The loan will be up to one week's pay. It will be repaid via equal monthly payroll deductions before 31 March 2016 to ensure no impact on tax/ national insurance.
- g) If Payroll make an error, it will be resolved as soon as possible in a supplementary payroll run and not wait until the following month. Supplementary runs will not be run if the employee makes an error e.g. submitting their timesheet late.
- h) The Regional Representatives recognised that the District Council could enforce the change by dismissal and reengagement of contract but hoped that most people would respond to being given a choice of dates to go onto monthly pay with the support available.

The Employee Group in May was consulted on the proposal and support available. They were asked to talk to staff in their departments. At the same time Payroll started to ask individuals if they would like to help by going onto monthly pay. To date 73 have agreed to do so and are to receive letters of thanks.

- 2.7 At the time of writing the report Human Resources and Payroll are attending team meetings to discuss the need for monthly pay, confirm that individuals can choose the best time for them and the support available. Letters of confirmation are then issued.
- 2.8 The team talks and letter explain the transition arrangements which are actually favourable. This is because weekly pay is received 2 weeks in arrears and monthly pay 3 weeks in arrears and one week in advance. For example if someone were to choose to go onto monthly pay in September they would receive:
 - 6 September: last day worked on weekly pay
 - 10 September: one weeks' pay for work to 30 August
 - 17 September: one weeks' pay for work to 6 September (last weekly pay)
 - 24 September: first monthly pay from 7- 30 September
 - 24 October: next monthly pay plus September over time.
- 2.9 At the time of writing the report, payroll staff have taken time to explain the change to individuals and so 73 have agreed to go monthly paid and chosen the best time for them. They have received letters of confirmation and thanks. A further 30 staff have not yet responded to the request to go onto monthly pay (of whom 2 are based at Northwood Depot, 4 have contract hours in leisure, 2 are Apprentices and 23 are casual workers. Of the Casual Workers, 10 work regularly and will be contacted regarding the choice of when to go monthly. The remainder who work infrequently will be advised that they will be paid monthly from their next offered work.
- 2.10 For any staff who do not chose a date to go monthly, a collective agreement will be sought but the Regional Union Representatives recognised that the District Council

can implement the change by giving notice.

- 2.11 Governance & Resources Committee is asked to support the change to monthly pay and note that staff can choose when to go onto monthly pay (before 6 December 2015) with the support available. A collective agreement with the Trade Unions will be sought but if it is not possible and if there are any staff who have not volunteered to go onto monthly pay by September, Governance & Resources Committee is asked to agree that they are given 3 months notice that their contracts are dismissed and that they are offered reengagement on a new contract retaining all other conditions but specifying monthly pay.

3 RISK ASSESSMENT

Legal

Appropriate consultation has taken place with the parties involved. The legal risk is therefore low.

Financial

The implementation of these proposals will result in cashable savings (in bank charges and cost of payslips), as well as efficiency savings, especially in Payroll / Human Resources. The financial risk is therefore assessed as "low".

4 OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

5 CONTACT INFORMATION

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6 BACKGROUND PAPERS

None

7 ATTACHMENTS

None

BACK TO AGENDA

**GOVERNANCE AND RESOURCES COMMITTEE
16 JULY 2015**

Report of the Chief Executive

REFERRED ITEM

SUMMARY

That Governance and Resources Committee considers two recommendations by the Joint Consultative Group, which met 23 June 2015, regarding the Employee Code of Conduct and Sickness Absence Outturn 2014/15.

The minutes relating to each item are reproduced below and the revised Employee Code of Conduct included in the separately published appendices for this meeting.

WARDS AFFECTED

All

RECOMMENDATION

1. That the Committee considers the recommendation of the Joint Consultative Group that the revised Employee Code of Conduct be adopted.
2. That the Sickness Absence Outturn 2014/15 be noted.

STRATEGIC LINK

Monitoring and managing sickness absence supports the priority to make savings to achieve a sustainable budget and valuing our employees.

A strong ethical framework helps to underpin the Council's Corporate Plan and is an effective tool in mitigating risk.

1 REPORT

SICKNESS ABSENCE 2014/15 OUTTURN

The Human Resources Manager presented a report outlining the year outturn on sickness absence for the year 1 April 2014 to 31 March 2015.

The new Sickness Absence Policy Management approved by the Corporate Committee in December 2014 has now been implemented. At the moment there has been no improvement over last year but it is hoped it will have an impact on next year's figures. Although higher than last year, the outturn compares similarly to other Derbyshire authorities. Employees are supported by the generous Local Government sick pay scheme and a self-referral counselling is available through Derwent Rural Counselling. The Chief Executive will be writing to congratulate members of staff who achieved 100% attendance over the last year.

It was moved by Councillor Tom Donnelly, seconded by Councillor Garry Purdy and

AGREED That the report be noted.
(Unanimously)

EMPLOYEE CODE OF CONDUCT

The Head of Corporate Services advised that at its meeting on 11 December, 2014, the Corporate Committee considered and approved amendments to the Employee Code of Conduct for the purposes of widespread consultation.

The Employee Code of Conduct forms part of an employee's contract and is intended to be an overarching document which links to specific employee policies and processes. In conducting the review the Corporate Committee agreed that the Code could be improved by being more specific in terms of the Council's expectations of its employees in behavioural terms. In addition a recent Internal Audit report recommended that a central register of interests should be maintained which is also reflected in the amendments. The Code is attached to the report at Appendix 1 with the amendments to the original shown in bold type.

As the Code is part of an employee's contract, widespread consultation has taken place with employees via the Employee Group and at Core Briefings where the topic also coupled as a training session to remind employees of their current obligations. No further amendments to the Code are proposed. The Group is therefore asked to add its final endorsement prior to the Code being recommended for adoption by the Governance and Resources Committee.

AGREED That the Governance and Resources Committee be requested to
(Unanimously) adopt the revised Employee Code of Conduct.

BACK TO AGENDA