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06 June 2018

To: All Councillors

As a Member or Substitute of the **Governance and Resources Committee**, please treat this as your summons to attend a meeting on **Thursday 14 June 2018 at 6.00pm in the Council Chamber, Town Hall, Matlock.**

Yours sincerely



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. APPROVAL OF MINUTES OF PREVIOUS MEETING

18 January 2018

3. 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.**

4. 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.

5. QUESTIONS PURSUANT TO RULE OF PROCEDURE NUMBER 15.

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

Page No.

6. COMMUNITY ASSET TRANSFER – CROMFORD COMMUNITY CENTRE

4 - 8

To consider approval of a request from Cromford Community Centre Association (CCCA) to transfer the freehold of Cromford Community Centre and adjoining land to enable their continued use as a community facility, subject to the terms outlined in the report. Also, to note the transfer of the freehold of the public convenience buildings adjacent to this site has been authorised under separate approval, but will form part of the same conveyance.

7. COMMUNITY ASSET TRANSFER – LITTON PLAY AREA

9 - 16

To note the responses received to the Public Open Space advertising and consider approval of the freehold transfer of Land at Litton to Litton Parish Council, for recreational purposes. Also, to note the transfer will comprise an undervalue transaction as permitted by the General Disposal Consent 2003.

8. INTERNAL AUDIT ANNUAL REPORT 2017/18

17 - 23

To consider approval of the Internal Audit Annual Report for 2017/18.

9. INTERNAL AUDIT REPORTS CONCLUDED UNDER THE 2017/2018 OPERATIONAL AUDIT PLAN

24 - 33

To consider approval of the Internal Audit reports produced in respect of the 2017/2018 Internal Audit Plan and also the progress made by management in implementing the agreed audit recommendations.

10. DEVELOPMENT MANAGEMENT – PRE-APPLICATION ADVICE

34 - 45

To note a report on the progress of the first year's operation of the formal pre-application advice scheme in Development Management and consider approval of a revised schedule of charges for pre-application advice to be adopted with effect from 1 July 2018.

11. SERVICE REVIEWS 2018/19

46 - 49

To note a report on the progress and outcomes of the ongoing 2017/18 Service Reviews and consider approval of the 2018/19 Service Review Programme.

12. EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2018/19

50 - 75

To note an update report on the progress of actions in the Equality, Consultation and Engagement Plan 2017/18 and consider approval of the Equality, Consultation and Engagement Plan 2018/19.

13. ICT STRATEGY 2018 – 2021

76 - 86

To consider a report seeking approval for adoption of the Derbyshire Dales District Council ICT Strategy 2018-2021.

- 14. GENERAL DATA PROTECTION REGULATION (GDPR): PROGRESS REPORT** **87 - 97**
- To note an update report on the progress of the General Data Protection Regulation (GDPR) Action Plan and consider the recommendation that a further Members' Workshop on GDPR be provided.
- 15. INFORMATION GOVERNANCE FRAMEWORK 2018 – 2021** **98 - 110**
- To consider a report seeking approval for adoption of the Information Governance Framework 2018-2021.
- 16. JOINT CONSULTATIVE GROUP: MINUTES OF 8 FEBRUARY 2018** **111 - 112**
- To receive the Minutes of the Joint Consultative Group meeting held on 8 February 2018.

Members of the Committee - Councillors Deborah Botham, Albert Catt, Tom Donnelly, Steve Flitter, Chris Furness (Vice Chairman), Alyson Hill, Neil Horton, Angus Jenkins, Jean Monks, Garry Purdy, Mike Ratcliffe, Lewis Rose, Mark Salt, Jacquie Stevens (Chairman), Colin Swindell, John Tibenham, Joanne Wild.

Substitutes – Councillors Jason Atkin, Jennifer Bower, Richard Bright, Sue Bull, Sue Burfoot, David Chapman, Ann Elliott, Richard FitzHerbert, Helen Froggatt, Susan Hobson, Vicky Massey-Bloodworth, Tony Millward BEM, Dermot Murphy, Joyce Pawley, Irene Ratcliffe, Philippa Tilbrook.

GOVERNANCE AND RESOURCES COMMITTEE
14 JUNE 2018

Report of the Chief Executive

COMMUNITY ASSET TRANSFER - CROMFORD COMMUNITY CENTRE

PURPOSE OF REPORT

The report considers a request from Cromford Community Centre Association (CCCA) for the transfer of the freehold of Cromford Community Centre and adjoining land to enable their continued use as a community facility. The transfer of the freehold of the public convenience buildings adjacent to this site has been authorised under separate approval but will form part of the same conveyance.

RECOMMENDATION

1. That the terms outlined in paragraph 3 of this report for transferring the freehold of the Cromford Community Centre and adjoining land as shown edged red on the plan at Appendix 1 to CCCA are agreed.
2. That the previously authorised transfer of the freehold of the public convenience buildings adjacent to this site to CCCA will form part of the same conveyance and that their contribution in taking over operation of the public conveniences from the planned closure date (14th May 2018) to the completion date of this transfer is noted and acknowledged.
3. That it is noted that the disposal in 1. above (including the public conveniences) constitutes an undervalue transaction permitted under the General Disposal Consent 2003.
4. That each party will bear their own legal costs.

WARDS AFFECTED

Masson

STRATEGIC LINK

The use of Council property for the benefit of the Communities that we serve assists in ensuring that the Council Leads the Communities of the Dales, improves quality of life for residents and, with partners, ensures the continued provision of excellent services

1 BACKGROUND

- 1.1 The District Council owns the Community Centre in Cromford and has leased the building to Cromford Community Centre Association (CCCA) since 1983. There have been some recent changes in the constitution of the CCCA and they have remained in occupation of the premises since the expiry of the contractual lease

term in 2003, holding over under the terms of the existing lease.

- 1.2 The newly constituted CCCA has approached the District Council last year to request a Community Asset Transfer of the premises.
- 1.3 Over the last year CCCA have worked successfully to improve the fabric of the Cromford Community Centre and put it on a firm financial and operational footing. In order to continue their improvements, they will need to apply for grants for which they will need to demonstrate security of tenure of the building.

2 CURRENT SITUATION

- 2.1 A request has been received from the CCCA for the freehold transfer of the Cromford Community Centre to enable its continued use as a community facility.
- 2.2 CCCA is active in providing community space for gatherings and meetings. They have demonstrated their commitment to the community by agreeing to take over ownership and operation of the public conveniences on the adjoining site which they are currently operating under a tenancy at will pending the freehold transfer.

3 PROPOSED RECOMMENDATIONS

- 3.1 It is proposed that the Community Centre and adjoining land (as shown edged red on the plan at Appendix 1) be transferred freehold to CCCA as a Community Asset Transfer (CAT) subject to the terms outlined in section 4 below.
- 3.2 The transfer will be combined with the transfer of the public conveniences to minimise legal costs which will be borne by each party.
- 3.3 The key heads of terms for the transfer are as follows –
 - 3.3.1 Consideration of £1 payable if demanded
 - 3.3.2 Pre-emption clause (if offered for sale in full or part DDDC maintains the right to purchase it back at the original consideration)
 - 3.3.3 Restriction to use as a community centre for the benefit of the people of Cromford and surrounding areas.
 - 3.3.4 Transfer in existing condition and subject to existing rights and occupations
 - 3.3.5 Each party responsible for their own legal costs
 - 3.3.6 For the transfer of the public conveniences, which have been previously authorised, there would be a restriction ensuring continued use as a public convenience.

4 VALUATION

- 4.1 The proposed terms for the transfer of Cromford Community Centre, adjoining land and the adjacent Public Conveniences building to CCCA constitutes an undervalue transaction as permitted under the General Disposal Consent 2003.

- 4.2 It is considered by the Council's Valuer that the value of the transfer equates to £250,000. However, in considering this value, it should be noted that significant capital expenditure would be required should the building remain in the District Council's freehold ownership. The asset value of the building is protected by the use of a pre-emption clause which gives the District Council the right to purchase it back for £1 if ever offered for sale.
- 4.3 Under the General Disposal Consent 2003, Local Authorities are permitted to dispose of any interest in land held under the Local Government Act 1972 which they consider to contribute to the promotion or improvement of the economic, social or environmental wellbeing of the area at less than best consideration subject to various conditions.
- 4.4 It is considered that the proposed terms for the transfer of Cromford Community Centre, adjacent land and the Public Conveniences building to CCCA would comply with this legislation.

5 CONSULTATION

The relevant Ward Members and the Parish Council have been consulted on the proposed transfer and any comments received will be reported verbally at the meeting.

6 OTHER EXPRESSIONS OF INTEREST

In addition to various general expressions of interest in development sites/opportunities across the District and the expressions of interest forming part of this report, no other specific expressions of interest have been received in relation to all the sites/properties included in this report.

7 RISK ASSESSMENT

7.1 Legal

The General Disposal Consent 2003, Local Authorities prescribes transfers of land at an undervalue and the considerations are set out in the report. The transfer of land accords with the District Council's policy, which includes the requirement to consult with Ward Members. The legal risk is therefore low.

7.2 Financial

Whilst this disposal is classed as an undervalue transaction, the proposed transfer of the Cromford Centre on the terms proposed will remove a future maintenance liability for the Council. Therefore the financial risk is low.

8 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.

9 CONTACT INFORMATION

Mike Galsworthy, Estates and Facilities Manager, Tel. 01629 761207 or email mike.galsworthy@derbyshiredales.gov.uk

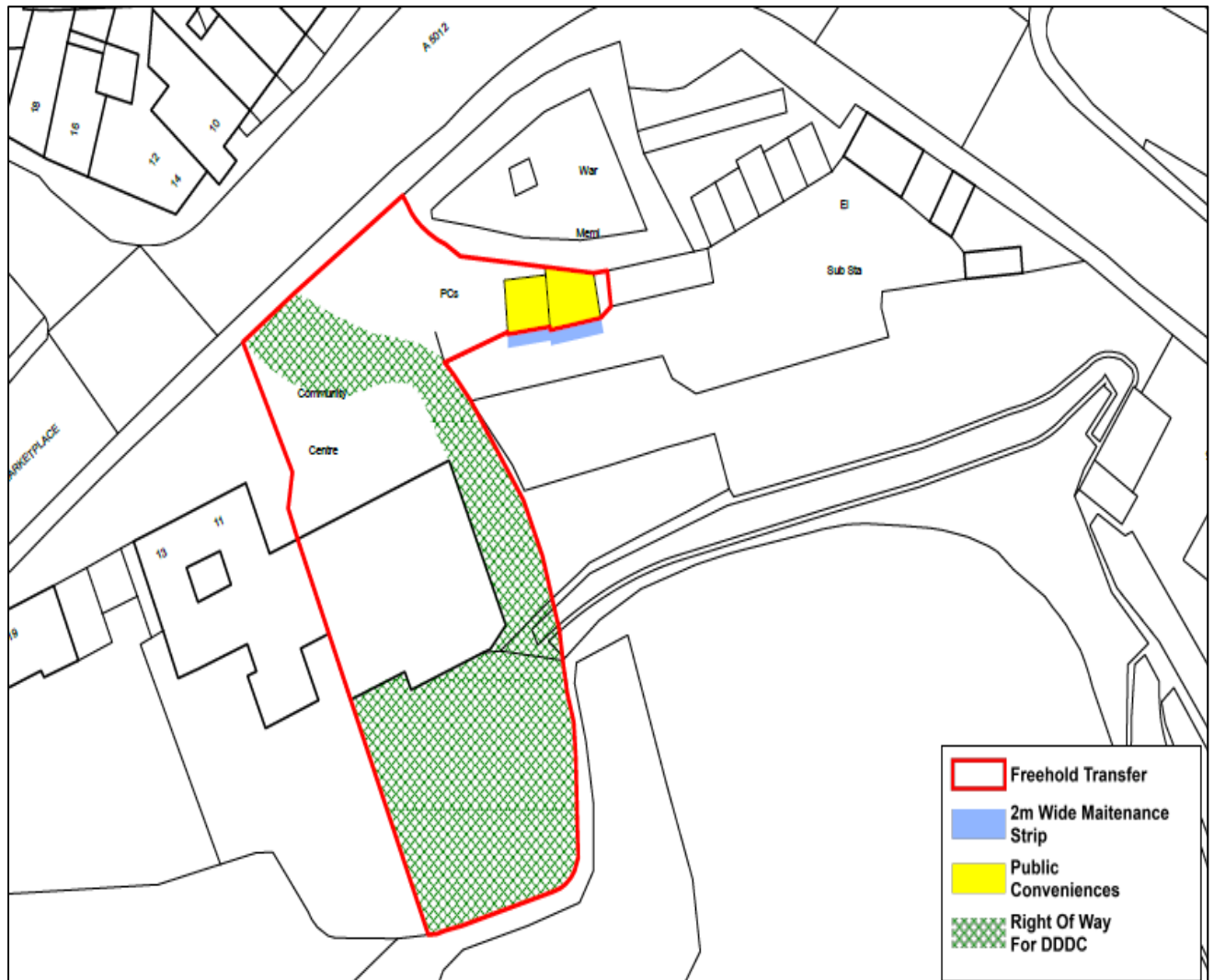
10 BACKGROUND PAPERS

None

11 ATTACHMENTS

APPENDIX 1 – Plan for transfer

APPENDIX 1



BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
14 JUNE 2018

Report of the Chief Executive

COMMUNITY ASSET TRANSFER – LITTON PLAY AREA

PURPOSE OF REPORT

This report updates the Committee on previously approved proposals for the freehold transfer of land at Litton to Litton Parish Council for recreational purposes.

RECOMMENDATION

1. That the response received to the Public Open Space advertising is noted and that the offer to purchase part of the site contained therein is declined.
2. That the action taken in including the site in the Public Space Protection Order is noted.
3. That the terms outlined in paragraph 3.1 of this report for transferring the freehold of the Recreation Ground at Church Lane, Litton as shown on the plan at Appendix 1 to Litton Parish Council for use as a Village Play Area and Sensory Garden are agreed.
4. That the Committee notes that transfer described in paragraph 3 above comprises an undervalue transaction as permitted by the General Disposal Consent 2003.

WARDS AFFECTED

Litton

STRATEGIC LINK

The transfer of the site for use as a Play Area supports the District Council's corporate aim to promote quality of life and also makes a significant contribution to the safety and health of the community of Derbyshire Dales.

The proposal accords with the District Council's priorities whilst also seeking to ensure that we deliver value for money and work effectively with community partners.

1 BACKGROUND

- 1.1 The site comprises a steeply sloping field of approximate area 1295 sq.m. In 2010, a group of local parents from the village formed a group known as "PLAY" who obtained lottery funding to develop a new children's play area and sensory garden on the site. Litton Parish Council (LPC) gave them practical support and subsequently took on the maintenance of the playground. At the time, LPC understood the whole site to be in their ownership whereas in fact they only own a small part of the site with the area

shown edged red on the plan at Appendix 1 being in the District Council's freehold ownership.

- 1.2 Committee approval was obtained in December 2014 for the freehold transfer of the land in the ownership of the District Council to LPC for use as a Village Play Area and Sensory Garden.
- 1.3 Over the intervening period, negotiations with LPC have continued but it has not been possible to achieve a transfer on the terms originally approved due to a number of factors including LPC's initial reluctance to accept a freehold transfer, title issues, protracted negotiations about terms particularly maintenance responsibilities, continued complaints of noise and anti-social behaviour by a neighbouring resident and the legal requirement to undertake Public Open Space advertising.
- 1.4 LPC's main concerns have been around maintenance and liabilities for contamination (the site used to be an underground water storage reservoir for Severn Trent Water). The maintenance issues mainly relate to the dry stone wall which borders the site. The deeds are silent over responsibility and although the dry stone wall is in reasonable condition for agricultural use, concerns have been expressed about liability should children using the site stand/lean against it.
- 1.5 Pending resolution of this issue, Heras fencing was erected by the Council to prevent access to the area of the site bounded by the wall. LPC propose to address this problem by erecting a post and rail fence inside the wall to separate this from the Play Area. Pending the outcome of this report, LPC have asked whether they can erect the fence now at their cost and risk to allow full use of the Play Area over the summer months and the District Council has agreed to this request subject to the appropriate legal agreement being in place.

2 CURRENT SITUATION

- 2.1 Discussions have taken place with LPC and revised terms have been proposed/agreed which address the areas of concern.
- 2.2 On the basis that the Recreation Ground at Church Lane, Litton has been financed, developed and maintained by a community group supported by Litton Parish Council who already own a small part of the site it is considered that a freehold transfer of the site would be appropriate on the terms outlined in paragraph 3.4 of this report.
- 2.3 As the site is a Recreation Ground notice of intention to dispose of the site must be advertised for 2 consecutive weeks in the local press and the Council must consider any objections to the proposed disposal which may be made before it goes ahead with the transaction. The consultation period closed on 17th April 2018 and one response has been received and is included at Appendix.2 of this report.
- 2.4 The response to the POS advertising reproduced in Appendix 2 is from a neighbouring property owner who has had ongoing issues with noise and anti-social behaviour from youths gathering near some swings which are close to the rear boundary of his property. Over the last 3 summers complaints have been forwarded to the Police and Environmental Health Officers but there has been no evidence of any activity taking place which could lead to a prosecution or a statutory noise complaint being upheld

- 2.5 As part of his response to the POS advertising, the complainant has offered to purchase the top part of the site for £20,000 which would require the removal of some of the play equipment from the site.
- 2.6 Whilst we understand the complainant's position, the play area is a popular local amenity which does have planning consent and is built and operated in compliance with current operating regulations for such sites.
- 2.7 In order to address the concerns raised, this site has been included with a number of similar sites across the District in a Public Space Protection Order. This will give the Parish Council and the Police the ability to eradicate the majority of the antisocial behaviour that the complainant is experiencing. An extract plan from the Public Space Protection Order is included at Appendix 3.
- 2.8 Whilst his offer to purchase the top part of the site is noted, it is recommended that this is declined on the basis that we have previously offered the site to the Parish Council and the fact that the play equipment was installed and funded as a result of a community initiative.

3 PROPOSED RECOMMENDATIONS

- 3.1 It is proposed that the freehold of the Recreation Ground shown edged red on the plan at Appendix 1 be offered to Litton Parish Council on the following terms:-
- Peppercorn transfer of £1 consideration.
 - DDDC to indemnify LPC against any future claims for contamination.
 - Restriction to community use only.
 - Transfer of land in existing condition with existing title conditions and restrictions.
 - DDDC to cover LPC's reasonable legal costs.

4 VALUATION

- 4.1 The proposed terms for the transfer of land at Litton comprise an undervalue transaction as permitted under the General Disposal Consent 2003.
- 4.2 It is considered by the Council's Valuer that the value of the transfer equates to £10,000.
- 4.3 Under the General Disposal Consent 2003, Local Authorities are permitted to dispose of any interest in land held under the Local Government Act 1972 which they consider to contribute to the promotion or improvement of the economic, social or environmental wellbeing of the area at less than best consideration subject to various conditions.
- 4.4 It is considered that the proposed terms for the transfer of land at Litton would comply with this legislation.

5 CONSULTATION

- 5.1 The relevant Ward Members and Local Councils have been consulted on the proposed transfer and any comments received will be reported verbally at the meeting.

6 OTHER EXPRESSIONS OF INTEREST

- 6.1 In addition to various general expressions of interest in development sites/opportunities across the District and the expressions of interest forming part of this report, no other specific expressions of interest have been received in relation to all the sites/properties included in this report.

7 RISK ASSESSMENT

7.1 Legal

The Council has a statutory duty under s.123 of the Local Government Act 1972 not to dispose of land for a consideration less than the best that can reasonably be obtained. Under the Local Government Act 1972 General Disposal Consent (England) 2003 general consent is given to local authorities to dispose of land where the local authority considers that the purpose for which the land is to be disposed is likely to contribute to the achievement of any one or more of the following objects in respect of the whole or any part of its area, or of all or any persons resident or present in its area;

- i) The promotion or improvement of economic well-being;
- ii) The promotion or improvement of social well-being;
- iii) The promotion or improvement of environmental well-being; and

The legal risk is therefore low.

7.2 Financial

Although there may be an additional cost to indemnify against future claims for contamination, and the sale is an undervalue transaction, the proposed transfer of the land at Litton as proposed will remove a future maintenance liability for the Council. Therefore the financial risk is low.

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

Mike Galsworthy, Estates and Facilities Manager
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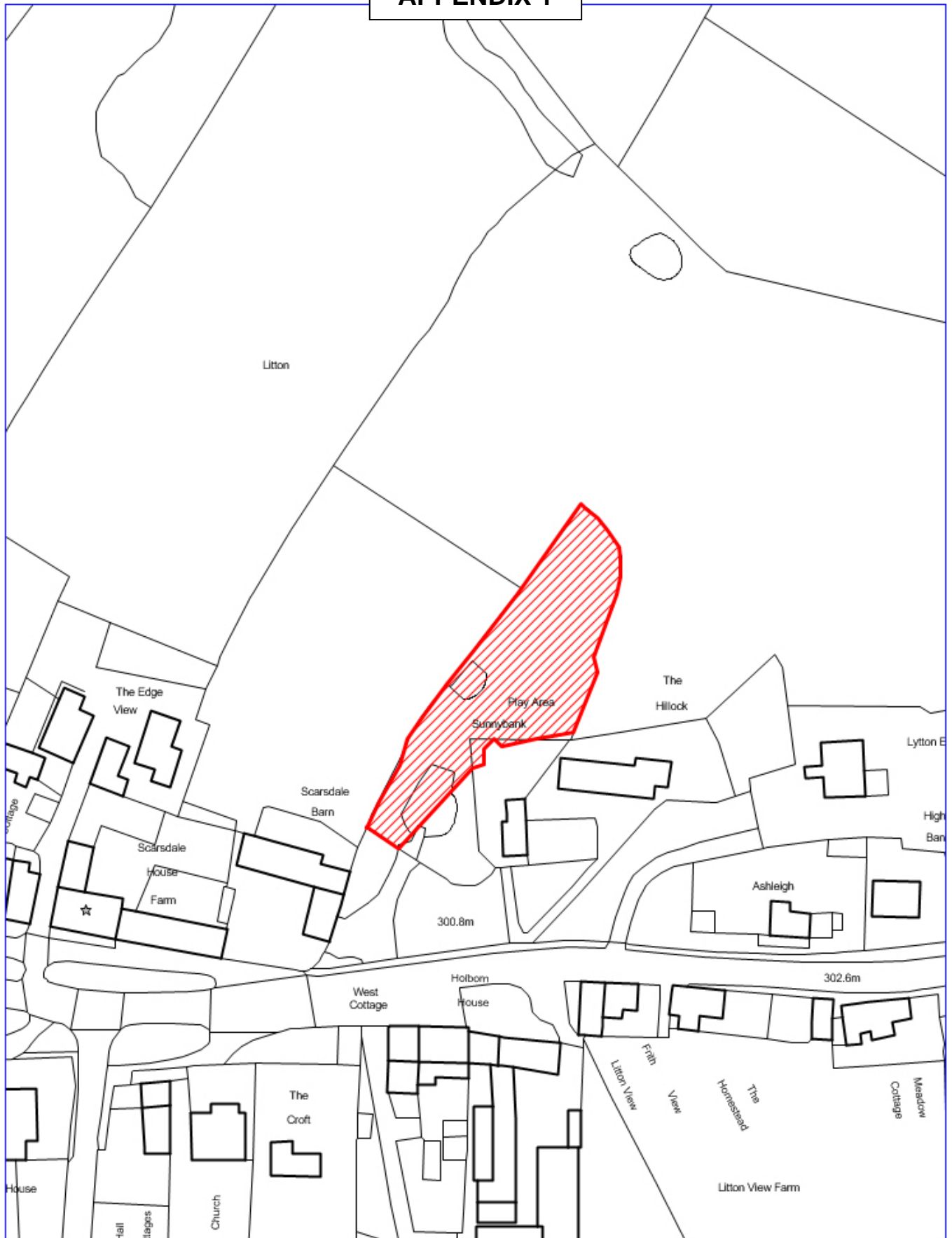
10 BACKGROUND PAPERS

None

11 ATTACHMENTS

Appendix 1 – Site Plan
Appendix 2 – Response to P.O.S. Advertising
Appendix 3 – Public Space Protection Order Site Plan

APPENDIX 1



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Telephone: (01829) 781100.



Scale 1: 966
27/11/2014

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1) DDDC Letter to Complainant re. P.O.S. Advertising

06 June 2018

Dear [REDACTED];

Thank you for your letter of the 11th April 2018. I understand that your letter is in response to the Council's public advertisement in the local press of its intention to dispose of public open space land at Main Street, Litton.

I confirm that your response will be considered by the Council before making a final decision whether to make a disposal of the public open space land. However, I am instructed to invite you to give your written reasons for your objection so that the Council can give full consideration to your response. You can do this by letter or by e-mailing me; either way, I will link your response to your letter of objection so that they will be considered together by the Council. I don't at this stage have a date on which the Council will make its final decision but I recommend that if you wish to provide more information you do so by say, the 30th April 2018.

Yours sincerely

**HARRY SHINGLETON
SOLICITOR
DERBYSHIRE DALES DISTRICT COUNCIL**

2) Complainant's response to P.O.S. Advertising

Hi [REDACTED]

Everyone will be aware of the problems we have experienced over the last several years with noise, anti-social behaviour etc

1. Litton Parish Council did not inform us of the playground development.
2. The playground was over developed.
3. The playground is only 4 metres from my bedroom window.
4. Constant foul language by teenagers.
5. During the summer months, it can be extremely noisy – especially at weekends. At times there can be 20 children in there – again, it is only 4 metres from my property.
6. Disturbed from sleep through noise – I cannot count how many times – to the point where I have had to get out of bed and go into the playground to ask them to move on. In the summer months, I dread going home from work due to the noise level.
7. Consumption of alcohol and drugs
8. Adults and children urinating in the playground.
9. Teenagers lighting fires.
10. Opening times completely ignored by children, parents, guardians alike.

The problems are just endless and just keep going on and on and Litton Parish Council have proved over the past several years that they have no intention of doing anything about it. I have invited them to my property several times to show them what we are experiencing and they have just refused.

When Litton Parish Council got retrospective planning permission for the playground they said they had formed a group called "Play 2" and that this group would be constantly monitoring the playground. However, this group lasted approximately three weeks and then dissolved and as such, no further monitoring took place. As mentioned above, especially in the summer months and fine weather, I dread going home from work as the situation is so stressful and in addition, lack of sleep and there has been times when I have actually gone into work at the weekend, just to get away from the constant noise – and this has been going on year in, year out. I kept explaining the situation to Litton Parish Council – time and time again, but all they have ever said was that they would bring the issues up at the next Parish Council meeting but in the meantime, to contact the police. The police came round to see me, and although they were very sympathetic, they advised it was not a police matter and that I needed to get in touch with the Parish Council – as I am sure you will agree, I am just going round in circles. However, since the installation of the fence within the playground which was installed by Derbyshire Dales District Council some six months ago, all the above problems have gone completely. However, if the land is transferred to Litton Parish Council, the fence will be removed and all the problems will start again. In my opinion, the only way forward to ensure the problems do not re-occur is to remove the pieces of equipment in the top half of the playground which attracts the teenage element and noise, and plant trees in place as a nature reserve? Alternatively, my family and I would be prepared to purchase the top half of the playground and would be prepared to pay £20,000 – just to resolve the problem, or maybe Mr and Mrs [REDACTED] who own the adjoining land may wish to purchase it ? Whilst everyone wants somewhere safe for our children to play, the playground has been over developed, with no consideration as to the effects it would have on neighbouring properties.

It is quite difficult to put my feelings down in writing. If the District Council and Parish Council would like to meet at my property; go inside the bedrooms within my property to be able to get the real effect of the problems, that would be great. Last weekend I had a chat with my son [REDACTED] and daughter in law [REDACTED] who live at [REDACTED] and told them to put something in writing and [REDACTED] said everyone is aware of the problems but no-one is prepared to do anything about it, so what was the point of putting a letter together – she was in tears over the situation.

Finally, if the transfer of land does go through to Litton Parish Council and the problems start again, then I will have no alternative than to go down the legal road ie solicitors, barristers etc, but as I am sure you are aware, this is the last thing I want to do.

Await to hear from you.

With thanks for your assistance.

Regards
[REDACTED]

Appendix 3 - Public Space Protection Order Plan – Litton Play Area



BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
14 JUNE 2018

Report of the Head of Resources

INTERNAL AUDIT ANNUAL REPORT 2017/18

PURPOSE OF REPORT

The purpose of this report is to:

- Present a summary of the internal work undertaken during 2017/18 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 require 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);
- Confirm progress against the internal audit action plan that was developed following an external review of internal audit;
- Comment on the results of the internal quality assurance programme;
- Confirm the organisational independence of internal audit;
- Review the performance of the Internal Audit Section against the current Internal Audit Charter.

RECOMMENDATION

That the Internal Audit Annual Report for 2017/18 be approved.

WARDS AFFECTED

None

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. This contributes to the Council's core values of being open and transparent when making decisions and using public resources ethically and responsibly.

1 BACKGROUND

- 1.1 The Public Sector Internal Audit Standards (PSIAS) require that the results of audit activities are reported to the responsible body. This report summarises the work undertaken by internal audit during the year 2017/18. This report also fulfils the requirement of the PSIAS that the Head of Internal Audit deliver an annual internal audit opinion and report that can be used by the organisation to inform its governance statement.

2 REPORT

SUMMARY OF WORK UNDERTAKEN

- 2.1 Appendix 1 details the audit reports issued in respect of audits included in the 2017/18 internal audit plan. The appendix shows for each report the assurance level on the reliability of the internal controls. The report opinions can be summarised as follows:

Assurance Level 2017/18	Number of Reports	Opinion	Number of reports 2016/17
Substantial	12	Good	17
Reasonable	2	Satisfactory	6
Limited	0	Marginal	3
Unsound	0	Unsatisfactory	0
		Unsound	0
	14		26

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

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

Description	2017/18		2018/19
	Plan	Actual	Plan
Percentage Plan Completed	96%	94% *	96%
Number of Complaints	0	0	0
Completion of Annual Report	May 2018	May 2018	May 2019
Customer Satisfaction Score	85%	97%	85%
Net Cost per audit day	£269	£217	£202
Number/proportion of audits completed within time allocation	80%	89%	80%
% Recommendations Implemented	80%	Note 1	80%

*This equates to 1 audit that was not completed by the end of March 2018; this audit is now in progress.

Note 1 There have only been 11 recommendations made in 2017/18 and the majority of those are not yet due to have been implemented. The small number of

recommendations made means that the % calculation of recommendations implemented would be distorted. Members receive regular reports on outstanding internal audit recommendations.

OPINION ON THE ADEQUACY AND EFFECTIVENESS OF THE CONTROL ENVIRONMENT

- 2.4 The Internal Audit Consortium Manager is responsible for the delivery of an annual audit opinion that can be used by the Council to inform its governance system. The annual opinion concludes on the overall adequacy and effectiveness of the organisation's framework of Governance, risk management and control.
- 2.5 In my opinion reasonable assurance can be provided on the overall adequacy and effectiveness of the council's framework for governance, risk management and control for the year ended 2017/18.
- 2.6 There are no qualifications to this opinion.
- 2.7 Assurance can never be absolute. In this context "reasonable assurance" means that arrangements are in place to manage key risks and to meet good governance principles, but there are a minor number of areas where improvements are required.
- 2.8 Where weaknesses have been identified through internal audit review, we have worked with management to agree appropriate corrective actions and a timescale for improvement.
- 2.9 In addition to the issues highlighted by internal audit, Members should also be aware of other high risk areas that are highlighted within the Council's Strategic Risk Register. In particular:-
- Budget pressures
 - Resource capacity and capability
 - Data Protection and Information Governance
 - Legal challenge in respect of contracts, liabilities, compliance, safeguarding
 - Business Continuity and Emergency Planning
 - Continuity of service (external supplier)
 - Health and Safety
 - Safeguarding
 - Planning and Local Plan
 - Policies and decision making
 - Ashbourne Airfield Link Road.
 - Transformation Programme
 - Cyber - Crime

ISSUES FOR INCLUSION IN THE ANNUAL GOVERNANCE STATEMENT

- 2.10 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. It is considered by the Internal Audit Consortium Manager that there are no issues arising from internal audit work in 2017/18 that need to be reported in the annual governance statement.

COMPARISON OF PLANNED WORK TO ACTUAL WORK UNDERTAKEN

- 2.11 The Internal Audit Plan for 2017/18 was approved by the Governance and Resources Committee on the 23rd March 2017. Overall, 94% of planned audits were completed during the year. Only 1 audit (system security) was not completed by the end of March 2018 and that audit is currently in progress.

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

- 2.12 During 2017/18 a self- assessment was undertaken to review compliance with the Public Sector Internal Audit Standards. The results confirmed that there were no significant areas of non-compliance.
- 2.13 In October 2016 the Internal Audit Consortium was subject to an external review to ensure compliance with the Public Sector Internal Audit Standards. The review concluded that the Consortium was compliant with and in places exceeded the requirements of the PSIAS but a number of recommendations were made to further enhance the service provided by the Consortium. These recommendations have now all been implemented although some are ongoing. A further improvement plan will now be developed.
- 2.14 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 Governance and Resources Committee.
- 2.15 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.
 - The Senior Auditor on site operates to the Public Sector Internal Audit Standards.
- 2.16 The above quality procedures have ensured conformance with the PSIAS.

- 2.17 Based on the customer satisfaction surveys returned, the average score for customer satisfaction during 2017/18 was 97%.
- 2.18 The results of the Client Officer survey were a score of 100%.

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

- 2.19 The Internal Audit Charter was last reported to and approved by the Governance and Resources Committee in June 2016. A further review and update of the Internal Audit Charter will be undertaken in the summer of 2018.
- 2.20 Based on the information provided in this report on the completion of the 2017/18 internal audit plan, it is considered that the requirements of the Charter were met during the year.

3 RISK ASSESSMENT

3.1 Legal

The report summarises actions and reports taken by the Internal Audit service which aims to review and in bed good working practices according to recognised good practice. Individual reports conclude with specific risk assessments. No rule of law has been broken. The overall legal risk is therefore low.

3.2 Financial

There are no financial considerations arising from the report.

3.3 Corporate Risk

This report ensures that the Committee is aware of the work undertaken by internal audit during 2017/18 and internal audit's opinion on the adequacy and effectiveness of the systems in place at Derbyshire Dales District Council.

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

Appendix 1 – Internal Audit Reports Issued 2017/18

Internal Audit Reports Issued 2017/18

Ref	Report Title	Opinion 2017/18
1	Miscellaneous Income	Substantial
2	Homelessness	Substantial
3	Bakewell Pool	Substantial
4	Payroll	Substantial
5	Debtors	Substantial
6	Creditors	Substantial
7	Housing Benefits	Substantial
8	Council Tax	Substantial
9	Cash and Bank	Substantial
10	Non Domestic Rates	Substantial
11	Taxi Licensing	Reasonable
12	Treasury Management	Substantial
13	Budgetary Control	Reasonable
14	Main Accounting	Substantial

Assurance Level	Definition
Substantial Assurance	There is a sound system of controls in place, designed to achieve the system objectives. Controls are being consistently applied and risks well managed.
Reasonable Assurance	The majority of controls are in place and operating effectively, although some control improvements are required. The system should achieve its objectives. Risks are generally well managed.
Limited Assurance	Certain important controls are either not in place or not operating effectively. There is a risk that the system may not achieve its objectives. Some key risks were not well managed.
Inadequate Assurance	There are fundamental control weaknesses, leaving the system/service open to material errors or abuse and exposes the Council to significant risk. There is little assurance of achieving the desired objectives.

BACK TO AGENDA

**GOVERNANCE AND RESOURCES COMMITTEE
14 JUNE 2018**

Report of the Head of Resources

**INTERNAL AUDIT REPORTS CONCLUDED UNDER THE 2017/2018
OPERATIONAL AUDIT PLAN**

PURPOSE OF REPORT

This report asks the Committee to consider the internal audit reports produced in respect of the 2017/2018 Internal Audit Plan and also to consider the progress made by management in implementing the agreed audit recommendations.

RECOMMENDATION

That the report is approved.

WARDS AFFECTED

None

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. This contributes to the Council's core values of being open and transparent when making decisions and using public resources ethically and responsibly.

1 SUMMARY

- 1.1 The 2017/18 Operational Audit Plan was approved by the Governance and Resources Committee on 23 March 2017. 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 report details the results of the internal audit reviews undertaken during the year.
- 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 since this committee last considered a report for audits included in the 2017/2018 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 level of assurance that can be given in respect of the audit area examined and the number of recommendations made / agreed where a full response has been received.
- 2.4 The assurance provided column in Appendix 1 gives an overall assessment of the assurance that can be given in terms of the controls in place and the system's ability to meet its objectives and manage risk in accordance with the following classifications:

Assurance Level	Definition
Substantial Assurance	There is a sound system of controls in place, designed to achieve the system objectives. Controls are being consistently applied and risks well managed.
Reasonable Assurance	The majority of controls are in place and operating effectively, although some control improvements are required. The system should achieve its objectives. Risks are generally well managed.
Limited Assurance	Certain important controls are either not in place or not operating effectively. There is a risk that the system may not achieve its objectives. Some key risks were not well managed.
Inadequate Assurance	There are fundamental control weaknesses, leaving the system/service open to material errors or abuse and exposes the Council to significant risk. There is little assurance of achieving the desired objectives.

- 2.5 Eight reports have been issued, 6 with a conclusion of "Substantial Assurance" and 2 with a conclusion of "Reasonable Assurance".
- 2.6 Attached at Appendix 2 is the current position at 11 May 2018, of internal audit recommendations made as a consequence of audit reviews. 11 recommendations have been satisfactorily implemented since the last report, 1 recommendation is in the process of being implemented, 8 recommendations have not passed their implementation date and 12 recommendations remains outstanding (have a revised implementation date). Appendix 2 gives a commentary next to each recommendation describing the progress made.

3 RISK ASSESSMENT

3.1 Legal

There are no legal considerations arising from the report

3.2 Financial

There are no financial considerations arising from the report.

3.3 Corporate Risk

There are no corporate risks to consider.

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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Jenny Williams, Internal Audit Consortium Manager

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6 BACKGROUND PAPERS

None

7 ATTACHMENTS

Appendix 1 - Summary of Internal Audit Reports Issued January 2018 – end March 2018

Appendix 2 – Review of outstanding audit recommendations as at 31 May 2018

DERBYSHIRE DALES DISTRICT COUNCIL

Internal Audit Consortium - Report to Governance and Resources Committee

Summary of Internal Audit Reports Issued January 2018 – end March 2018

Report Ref	Report Title	Scope and Objectives	Overall Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D007	Housing Benefits	To ensure that benefits are paid promptly and accurately	Substantial	31/10/2017	21/11/2017	0	0
D008	Council Tax	To ensure that bills are raised promptly and accurately and that there are good collection procedures in place	Substantial	6/12/2017	4/01/2018	1L	1
D009	Cash and Bank	To review the adequacy of the controls and systems in place in respect of the cash and bank system.	Substantial	3/01/2018	24/01/2018	0	0
D010	Non Domestic Rates	To ensure that bills are raised promptly and accurately and that there are debt collection procedures in place	Substantial	24/01/2018	14/02/2018	1H	1

Report Ref	Report Title	Scope and Objectives	Overall Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D011	Taxi Licensing	To ensure that the controls in place are operating effectively including those in relation to safeguarding.	Reasonable	9/2/2018	2/3/2018	2H	2
D012	Treasury Management	To ensure that all lending and borrowing is undertaken in line with an approved strategy	Substantial	12/3/2018	4/4/2018	0	0
D013	Budgetary Control	To ensure that budgets are closely monitored and reported upon regularly	Reasonable	28/2/2018	21/3/2018	3M	3
D014	Main Accounting	To review the adequacy of the systems and procedures in place	Substantial	22/3/2018	16/4/2018	1M 1L	2

REVIEW OF OUTSTANDING AUDIT RECOMMENDATIONS AT 31 MAY 2018

Green	Recommendation satisfactorily implemented
Yellow	Target date not reached
Amber	Work In Progress but recommendation not yet fully implemented
Red	Recommendation remains outstanding

SERVICE	RECOMMENDATIONS	COMMENT	STATUS
Data Protection	Once revised and approved, the policy should be reviewed regularly to ensure that it is fit for purpose (Medium)	Complete	Green
	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)	Complete	Green
	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)	In Progress. Forms identified and currently under review and revision, expected to be completed by 14 June 2018	Amber
	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)	Complete	Green
	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)	Complete	Green

Asset Management May 2016	The Asset Management Plan should be reviewed and revised as soon as practicable (<i>Restated</i>) (Medium)	Recommendation remains outstanding: Target date 30 April 2017 re-scheduled to 1 Nov 2017; re-scheduled to 31 October 2018	Red
	A target date be agreed for the reconciliation of the CIPFA Property's Asset Manager and Uniform Asset Database systems (Medium)	Complete, anomalies referred to legal for confirmation	Green
Section 106 June 2016	Assign responsibility to an individual to take ownership of the budget for S106 monies to include responsibility for; monitoring triggers and collection dates of monies due; arrange site visits to determine the status of developments and compliance with agreements; and the status and use of S106 monies (High)	Complete - Development Control Manager has been assigned lead officer responsibilities	Green
	Access to Agresso and the S106 database and appropriate training should be provided to the officer designated with overall responsibility for the system to ensure a sound understanding of the accounting practices employed within the Council and to enable them to interrogate the systems efficiently in order to provide accurate and effective monitoring (High)	Complete - Business support manager and business support technical officer have access and are responsible for monitoring S106 agreements	Green
Partnerships September 2016	A review of the Protocol be undertaken to ensure that content is up-to-date and relevant (Medium)	Target Date – March 2017 re-stated 30 September 2017 Revised target date – 31.3.2018 Discussions with Head of Corporate Services – 9.5.18 – recommendation no longer relevant	Green
	A pro forma be designed and introduced based upon the checklist at appendix 1 of the Protocol for completion when setting up a partnership to evidence that guidance has been followed (Medium)	Target Date – March 2017 re-stated 30 September 2017 Revised target date – 31.3.2018 Discussions with Head of Corporate Services – 9.5.18 – recommendation no longer relevant	Green
Arc Leisure October 2016	Leisure management have already contacted Gem regarding the lack of receipts however this issue should be considered when re-letting the contract in March 2017 to ensure that income due is timely received (High)	Target date – March 2017 contract not re-let due to outsourcing of Leisure, in negotiation to extend in consultation with Legal – re-scheduled to December 2017 Rescinded due to outsourcing of Leisure	Green

Procurement December 2016	Include in the revised procedures that officers should consider the economical aspect of electronic purchases in the ability to reclaim VAT. Also for events such as the illuminations, consider sourcing sundry spends further in advance (Medium)	Complete - Recommendation addressed by procurement section reviewing all purchase requests and providing advice for alternatives where appropriate.	Green
Money Laundering January 2017	Money Laundering be included in the LOLA Risk Management & Fraud Awareness module as part of the editing process (Medium)	In Progress. Target date – 31 December 2017; rescheduled to 30 June 2018 New regulations relating to Money Laundering issued 2017; awaiting response from training provider for details of revised module	Amber
	Update the Policy to include the Council's transaction limit of £10,000 (Low)	Target date Not Reached (September 2018 - Next revision of Policy)	Yellow
Safeguarding March 2017	The Council's commitment to safeguarding should be promoted on the website with a dedicated page containing relevant information including a copy of the Safeguarding Policy and the procedures for members of the public to follow in the event of any concerns they may wish to raise (High)	In progress. Introduction of web page will be uploaded once amended policy is approved by relevant committee. Revised policy is due to be presented to the Corporate Leadership Team by 30 June 2018	Amber
	Consider producing posters based on the policy's flowchart to display throughout the Council's facilities to promote safeguarding and provide contact details (Medium)	Target date to be confirmed once policy has been approved (see above)	Amber
Clean & Green March 2017	Under the responsibility for safe custody of inventory items the Head of Environmental Services delegate appropriate officers (this would need to be someone with sufficient knowledge of the tools and equipment to ensure that they are identified and recorded accurately) with the following tasks – completion, maintenance and safe custody of inventories; authority for certifying disposals; and annual confirmation of assets held (Medium)	Work in progress – inventory has been started by the foreman/mechanic	Amber
	Once complete, the 'Quick Guide to Procurement' currently being revised by the Procurement Hub should be promoted to ensure that budget holders in particular, are aware of the requirement to comply with procurement procedures and to be mindful of triggers to undertake a tender exercise (Medium)	In Progress: Quick Guide to Procurement being developed by the procurement hub. Workshops 16 th and 24 th May and 21st June 2018.	Amber

	Tools and equipment belonging to the Council (as opposed to the personal tools of the mechanics) valued at £100 or above, be marked and identifiable as being the property of DDDC (Medium)	Work in progress	Amber
	A procedure for miscellaneous income in respect of sundry sales be documented to include payment options for purchasers to remit directly to the Town Hall rather than the depot (Medium)	Complete	Green
Creditors September 2017	A data cleansing exercise be undertaken to remove personal details of suppliers where accounts have been dormant for 6 years or more. Should previous suppliers be selected to be used again, approval should be sought to set up a new account (Medium)	Complete	Green
Council Tax December 2017	A list be compiled of payers who repeatedly submit payments without a reference for referral to Arvato; payer be contacted with advice regarding information required to enable automatic posting to the correct account (Low)	Target Date not reached (30 September 2018)	Yellow
Non Domestic Rates January 2018	Monitor progress regarding the receipt of monthly reports from the Building Control Partnership going forwards; liaise with the Head of Resources if the situation is not resolved (High)	Complete. Brought up-to-date and ongoing; visiting officer liaising with DDDC officers to resolve with the BC Partnership	Green
Taxi Licensing February 2018	The provision of safeguarding training for taxi drivers should be afforded high priority once the Taxi Licensing Policy is approved and implemented (High)	Target date not reached. Licensing Policy adopted and implemented w.e.f. 1.5.18, new drivers to have completed within 6 months of award of licence, existing drivers within 12 months. Training planned to be well underway by December 2018	Yellow
	Safeguarding training for Members (particularly those on the Licensing Committee) be provided once the Safeguarding Policy has been approved (High)	Recommendation remains outstanding: Dependent upon Safeguarding Policy being documented and approved (to CLT by 30 June 2018)	Red
Budgetary Control February 2018	During the review of style and content of reports, include specifying ones that provide service summary and the overall budgetary position (Medium)	Target date not reached (30 September 2018)	Yellow

	Consider reviewing the frequency of reporting to members from twice yearly to quarterly to demonstrate that adequate procedures are in place to ensure an effective system of financial control (Medium)	Complete – review has taken place and outcome is reflected in updated financial regulations (see below).	Green
	Financial Regulations be updated to include the frequency of budget monitoring reports to members (Medium)	Complete – Frequency of budget monitoring reports included in updated financial regulations approved at Annual Council meeting in May 2018	Green
Main Accounting March 2018	Review the method of closing accounts within Agresso to ensure that the account history reflects the status of all users accurately and consistently (Low)	Target date not reached (31 March 2019)	Yellow
	Review and amend the status of the 11 accounts identified by review of current users (spreadsheet to be forwarded to the administrator for reference) to ensure that the number of licences in use is correct (Low)	Complete	Green
	Introduce a procedure to ensure that all journal transfers are reviewed and authorised prior to processing by use of the electronic approval function within Agresso (Medium)	Target date not reached (31 March 2019)	Yellow

BACK TO AGENDA

**GOVERNANCE AND RESOURCES COMMITTEE
14 JUNE 2018**

Report of the Head of Regulatory Services

DEVELOPMENT MANAGEMENT – PRE-APPLICATION ADVICE

PURPOSE OF REPORT

This report informs the Committee of progress following the first year's operation of the formal pre-application advice scheme in Development Management. It describes the success of the scheme whilst also highlighting areas for improvement and recommends the adoption of a revised schedule of charges for advice.

RECOMMENDATION

1. That the report be noted.
2. That the revised schedule of charges for pre-application advice listed at Appendix 1 to this Report be adopted with effect from 1 July 2018.

WARDS AFFECTED

All outside the Peak District National Park

STRATEGIC LINK

An effective Development Management service contributes towards a thriving, safe and clean District.

1 SUMMARY

- 1.1 As part of the Development Management Review it had been recommended that the District Council considers the introduction of charging for pre-application planning advice. As well as introducing a new revenue stream this process should aim to standardise a high quality of advice and to make clear to those seeking advice what standards they can expect.
- 1.2 Following the meeting of this Committee on 19 January 2017, where a schedule of charges was adopted, the formal pre-application advice scheme started operating from 1 April 2017. Whilst the scheme has been very successful, the following 12 months have given officers the opportunity to consider improvements to the scheme, both in terms of process and fee. These improvements are summarised in this report.

2 REPORT

- 2.1 The review of the District Council's Development Management Service was one of 3 major service reviews scheduled for 2014/15 and was the subject of a report to Council on 14th June 2014 which agreed the scope of the review.
- 2.2 One of the areas that the review was set up specifically to consider was that of pre-application advice, in particular:
- Effectiveness of current guidance and advice to customers
 - Streamlining information requirements
 - Consistency in validation procedures
 - Channel shift
 - Pre-application advice - IDOX recording
 - Introduction of charges
 - Provision of listed building / conservation advice
 - Website and on-line service delivery
- 2.3 A further, comprehensive report on the progress of the Development Management Review with a detailed Action Plan was considered by the Governance and Resources Committee on 15 December 2016. Part of that Report and Action Plan recommended the introduction of a charging system for pre-application advice by 1 April 2017.
- 2.4 The formal pre-application advice system started operating from 1 April 2017, using a fee schedule that was adopted at the meeting of the Governance and Resources Committee held on 19 January 2017. The scheme has operated successfully over its first 12 months and has delivered in excess of 375 separate pieces of advice, bringing in an income of more than £35,000 net of VAT.
- 2.5 The system is operated in a paperless fashion, using the Development Management Uniform database system, coupled with the corporate electronic document management system, Information at Work, to handle applications for advice. These two systems are produced by different software suppliers and the connection between the two has required ongoing development during the year, but is producing results.
- 2.6 Two informal complaints were received during the first year. One complaint related simply to the principle of having to pay for advice, but the second complaint followed some procedural confusion, where a member of the public received conflicting advice about whether planning permission was required for a proposal. This issue highlighted points in the system where incorrect advice could be given by staff attempting to be helpful, but acting outside their areas of expertise. Instructions have been reissued and performance in this area will continue to be monitored.
- 2.7 Overall it is considered that the pre-application advice system has bedded in very satisfactorily. Positive comments have been received from applicants and from a meeting of our Planning Agents' Forum. It is clear that the majority of those using the service accept that it should be charged for and are comfortable with the level of fee charged. However, officers have reviewed the fee schedule and have suggested a number of amendments that they believe add to the service offered. The proposed new fee schedule is shown as Appendix 1 to this report and the changes can be summarised as follows:

- The introduction of a facility to pay for a meeting about a householder application
- The introduction of a new category for residential development between 99 and 199 dwellings (previously this category covered development between 10 and 199 dwellings)
- The merging of original categories J and K (>200 dwellings and Offices/Industry/Retail >10,000Sqm)
- New categories to deal with information requests (shown as categories M and N, in Appendix 1)
- New category for enquiries relating to minor amendments to approved developments and variations/amendments to section 106 agreements (category O in Appendix 1)
- The addition of development on land belonging to or maintained by a Parish or Town Council in connection with the operation of any public service administered by them to the list of exemptions from charge.

2.8 Although new charging categories are being proposed it is not recommended that existing fees are increased at this time. Members might be aware that centrally set Planning fees have recently been increased by 20% to take account of a number of years where no increase has been allowed, but it is not felt that it would be appropriate to increase our locally set fees by the same proportion, given that they were only introduced last year. It is instead proposed that further work is undertaken over the next 12 months to look at more harmonisation of pre-application fees throughout Derbyshire and that these fees are reassessed next year.

3 RISK ASSESSMENT

3.1 Legal

The District Council is able to charge for pre application advice services under [section 93 of the Local Government Act 2003](#). Where charges are made they must not exceed the cost of providing the service or discourage appropriate pre-application discussions. The proposals in this report set an appropriate balance to encourage pre application engagement to save time and potentially improve the planning outcome. The legal risk is therefore low.

3.2 Financial

The intention is to set fees at such a level as to fully cover costs. Income received will therefore offset officer costs and assist the Council in meeting its Corporate Savings Target. The financial risk arising from this report 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

Appendix 1 – Revised Schedule of Pre-Application Advice fees

Category	Proposal	Letter Fee (see below for exemptions) In all cases the more information that is provided will result in a more detailed and informed response from the Authority. Please note: <ul style="list-style-type: none"> • All fees noted below are inclusive of VAT • Refunds will not be issued • Exemptions where no fee is required: <ul style="list-style-type: none"> – Works wholly associated with adaptations for the disabled. – Fully affordable housing schemes – Development on land belonging to or maintained by a Parish or Town Council in connection with the operation of any public service administered by them 	Letter and Meeting Fee Held in Council offices unless otherwise requested by Officers
A	Do I need planning permission Time to respond 2 weeks	£25 The following will need to be provided: Contact name and details Address to which the proposal relates Description of development Dimensions of proposed extension/building etc. Plans of the proposal (to scale if dimensions not provided) Development Code A1	N/A

B	<p>Householder proposals (Per site)</p> <p>Time to respond - 2 weeks letter 4 weeks letter and meeting</p>	<p>£50</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Description of development Dimensions of proposed extension/building etc. Plans of the proposal (to scale if dimensions not provided)</p> <p>Development Code B1</p>	<p>£103</p> <p>Development Code B2</p>
C	<p>Works to Listed Buildings</p> <p>Time to respond 2 weeks or as otherwise notified</p>	<p>Householder £50 Commercial £100</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Detailed description of works</p> <p>The submission of the following may be required: Plans/photographs to indicate the works</p> <p>Development Codes CH1 (Householder) and CC1 (Commercial)</p>	<p>Letter and meeting: Householder £150 Commercial £200</p> <p>Development Codes CH2 (Householder) and CC2 (Commercial)</p>
D	<p>Advertisement proposals (Per site)</p> <p>Time to respond 2 weeks or as otherwise notified</p> <p>(If the building is listed refer to works to listed buildings)</p>	<p>£50</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Description of development Dimensions of proposed adverts Plans of the adverts including where to be located (to scale if dimensions not provided)</p> <p>Development Code D1</p>	<p>N/A</p>

E	<p>Change of use (not Inc. dwellings, major development or engineering works)</p> <p>Time to respond 2 weeks or as otherwise notified</p>	<p>£100</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Description of development</p> <p>The submission of the following may be required: Floor plans to demonstrate proposal</p> <p>Development Code E1</p>	N/A
F	<p>All other uses / buildings 0 – 499 Sqm</p> <p>Time taken to respond 4 weeks or as otherwise notified</p>	<p>£100</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Description of development Layout plan</p> <p>The submission of the following may be required: Topographical survey Layout plan, can be indicative Point of access and transport statement Ecology reports Drainage reports</p> <p>Development Code F1</p>	<p>Letter and meeting £150</p> <p>Development Code F2</p>
G	<p>All other uses / buildings 500-999 Sqm/ less than 1ha</p> <p>or,</p> <p>0 – 3 dwellings (Outline less than 0.5ha) (Including change of use of buildings)</p>	<p>£150</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Description of development Layout plan</p> <p>The submission of the following may be required:</p>	Letter and meeting £350

	Time to respond 4 weeks or as otherwise notified	<p>Topographical survey Layout plan, can be indicative Point of access and transport statement Ecology reports Drainage reports</p> <p>Development Code G1</p>	Development Code G1
H	<p>All other uses / buildings 1,000 – 9,999 Sqm / 1-2 Ha</p> <p>or,</p> <p>4 – 9 dwellings (Outline less than 0.5ha) (Internal code: P0603)</p> <p>Time to respond 4 weeks or as otherwise notified</p>	<p>£300</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Description of development 1:2500 site plan</p> <p>The submission of the following may be required: Topographical survey Layout plan, can be indicative Point of access and transport statement Ecology reports Drainage reports Landscape impact assessment Arboricultural report Statement of significance and impact (in relation to heritage assets) Developer contribution information Contaminated land report</p> <p>Development Code H1</p>	<p>Letter and meeting £500</p> <p>Development Code F1</p>
I	<p>10-99 Dwellings (Outline of 0.5 – 1.99 Ha)</p> <p>Time to respond 4 weeks or as otherwise notified</p>	<p>£500</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates</p>	Letter and meeting £750

		<p>Description of development 1:2500 site plan</p> <p>The submission of the following may be required: Topographical survey Layout plan, can be indicative Point of access and transport statement Ecology reports Drainage reports Landscape impact assessment Arboricultural report Heritage statement Developer contribution information Contaminated land report</p> <p>Development Code I1</p>	Development Code I2
J	<p>99-199 Dwellings (Outline of 2 – 4 Ha)</p> <p>Time to respond 4 weeks or as otherwise notified</p>	<p>£650</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Description of development 1:2500 site plan</p> <p>The submission of the following may be required: Topographical survey Layout plan, can be indicative Point of access and transport statement Ecology reports Drainage reports Landscape impact assessment Arboricultural report Heritage statement Developer contribution information Contaminated land report</p>	Letter and meeting £875

		Development Code J1	Development Code J2
K	<p>All other uses: 10,000+ Sqm > 4 Ha or > 200 dwellings</p> <p>Time to respond 4 weeks or as otherwise notified</p>	<p>£750</p> <p>The following will need to be provided: Contact name and details Address to which the proposal relates Description of development 1:2500 site plan</p> <p>The submission of the following may be required: Topographical survey Layout plan, can be indicative Point of access and transport statement Ecology reports Drainage reports Landscape impact assessment Arboricultural report Heritage statement Developer contribution information Contaminated land report</p> <p>Development Code K1</p>	<p>Letter and meeting £1000</p> <p>Development Code K2</p>
L	<p>Initial 'in principle' enquiry with email confirmation of meeting with limited up front information provided.</p>	<p>£300</p> <p>The following will need to be provided: Contact name and details and their interest in the site (e.g. agent/owner) Description of development Detail of site address</p> <p>The submission of the following may be required : 1:2500 site plan (optional)</p>	<p>Email to confirm discussion</p>

		Development Code L1	Development Code L2
M	<p>Request for information Confirmation of last known planning use of land and/or buildings</p> <p><i>Sites / buildings < than 1000sq. m</i> <i>Sites / buildings > than 1000sq. m</i></p> <p>Confirmation as to whether a building / structure is deemed curtilage listed</p> <p>Time to respond - 2 weeks or as otherwise notified</p>	<p>£25 £50</p> <p>£25</p> <p>Development Code M1</p>	N/A
N	<p>Enquiries relating to the discharge of pre-commencement conditions</p> <p>Householder applications</p> <p>Other applications</p> <p>Time to respond - 2 weeks (householder) or 4 weeks (other)</p> <p>(Please note that engaging in discussions with the Local Planning Authority under this category does not negate the need to formally discharge pre-commencement conditions through the submission of an application)</p>	<p>£20 £50</p> <p>Development Code N1</p>	<p>Letter and Meeting</p> <p>N/A £75</p> <p>Development Code N2</p>
O	<p>Enquiries relating to minor amendments to approved developments and variation / amendments to s106 agreements</p>	<p>£50</p> <p>Development Code O1</p>	N/A

P	Additional letter and/or meeting	Half original fee Development Code P1	N/A
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[BACK TO AGENDA](#)

**GOVERNANCE AND RESOURCES COMMITTEE
14 JUNE 2018**

Report of the Head of Regeneration and Policy

SERVICE REVIEWS 2018/19

PURPOSE OF REPORT

The report sets out the outcomes of the 2017/18 Service Reviews and recommends a review programme for 2018/19.

RECOMMENDATIONS

1. The 2018/19 Service Review programme is approved as set out in section 4 of the report
2. The outcomes of the 2017/18 Service Reviews and savings are noted
3. Progress with ongoing reviews is noted

WARDS AFFECTED

All

STRATEGIC LINK

Service Reviews aim to generate substantial savings, whilst driving improvement, support all the District Council's aims. In particular the reviews contribute to the priority of seeking efficiencies and innovative working practices.

1 BACKGROUND

- 1.1 The programme of Service Reviews for 2017/18 was approved by the Governance and Resources Committee on 23 March 2017. Service Reviews are carried out with the intention of achieving significant savings, to contribute towards the overall savings target identified in the Medium Term Financial Plan, and driving improvement.
- 1.2 Reviews include a lighter-touch (quicker) review process. These STEP reviews process (Savings, Transformation, Efficiencies and Performance) can be characterised as a 'star chamber' process, where service managers complete a questionnaire and are then interviewed about it by a panel of peers (including the Chief Executive, another CLT member, and staff member from other departments). The entire process, including preparing the questionnaire and the production of an action plan, takes a matter of weeks.

- 1.3 Alongside STEP reviews, more traditional service reviews are still undertaken in appropriate cases. These last anything from six months to a number of years.
- 1.4 Action plans from service reviews are considered regularly by CLT. For each of the current service reviews, the update below indicates progress and any savings identified.

2 SERVICE REVIEWS 2017/18

2.1 Development Management – Lead officer: *Jon Bradbury*

Work has taken place on the redesign of business processes in development management, having previously introduced an electronic document management system (EDMS) system. The task has been to pinpoint efficiencies that make best use of the system whilst maintaining excellent customer service.

A consultant has been working with the team for three months, using project management funding made available by the Governance and Resources Committee. She has identified a host of quick improvements, many of which have already been implemented. Other recommendations will require further consideration.

2.2 Leisure – Lead officer: *Ashley Watts*

Following approval by Council on 3 May 2018, the process of transferring the management and operation of leisure centres to Freedom Leisure is underway. This represents the successful conclusion of a review process that has been ongoing since 2014.

2.3 Public conveniences – Lead officers: *Sandra Lamb and Tim Braund*

Council on 30 April 2018 approved the final report of the public conveniences working group, which had been operating since 2016.

2.4 STEP reviews

The following four STEP reviews (Savings, Transformation, Efficiencies and Performance) were carried out in 2017/18, with action plans now being monitored by the Corporate Leadership Team:

- Housing
- Environmental Health
- Burials
- HR and Payroll

3 SUMMARY OF SERVICE REVIEWS AND SAVINGS 2017/18

- 3.1 The 23 March 2017 committee report evidenced £476,928 cashable savings achieved from service reviews up to that time, along with £31,000 budget savings delivered by STEP reviews.
- 3.2 The following table summarises service reviews conducted in 2017/18:

SERVICE REVIEWS 2017/18				
REVIEW	BEGUN	COMPLETED	SAVINGS	POST-IMPLEMENTATION REVIEW?
Leisure	2013/14	Yes - Council 3/5/18	Av. £509,657 p.a. (vs capital investment)	Ongoing contract management
Development Management	2014/15		None – additional costs	Business process changes pending
Public conveniences	2016/17	Yes - Council 30/4/18	£212,781 p.a.	Closures, sales and transfers to complete. Charging due to go live in July 2018. Updating reports to go to C & E Cttee.
Housing STEP review	2017/18	(Review held 18/10/17)	-	Periodic review as part of Action Plans for every STEP review
Burials STEP review	2017/18	(Review held 20/10/17)	-	
Environmental Health STEP review	2017/18	(Review held 13/11/17)	-	
HR and Payroll STEP review	2017/18	(Review held 8/1/18)	-	

4 SERVICE REVIEWS 2018/19

4.1 It is proposed to undertake the following Service Reviews during 2018/19 with a view to making savings to assist with meeting Efficiency Plan targets:

- **Overtime (including agency work)** – to revisit overtime payments and agency work to seek efficiency savings. Review to be completed by March 2019.
- **Environmental services** – in support of preparing for a new waste and recycling contract, to consider processes and online systems that could enable charging for services and streamlining customer contact. Review to conclude by December 2018, with implementation to follow.
- **Revenues and benefits** – a review of the arvato contract, to be completed by December 2018 in order to prepare for a new contract.
- **Fees and charges** – a rolling programme of reviewing fees and charges.

4.2 Lead officers from within the Corporate Leadership Team have been allocated to these reviews. In addition, it is proposed that volunteer members of review teams be sought from staff across all roles and departments; previous team members have contributed well and involvement has helped their personal and professional development.

5 RISK ASSESSMENT

5.1 Legal

There are no legal considerations with service reviews at this stage. The risk is therefore low.

5.2 Financial

As stated in the body of the report, Service Reviews aim to generate significant savings for the District Council, whilst recognising that there may be a need for short-term 'invest to save' funding where this is justified by a sound business case. Service reviews and other measures identified £1,168,481 in savings up to 31 March 2017 against the three year target of £1m set in 2014. As shown above, the Council has recently approved changes that will generate further savings averaging around £510,000 p.a. for leisure centre management and £213,000 p.a. for public conveniences. In May 2018 the Council approved a revised medium term financial plan that indicates that savings of around £850,000 will be required by 2021/22. While the financial risk associated with achieving a sustainable financial position remains high, the financial risk associated with the recommendations of this report is assessed as low.

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.

Service Reviews G&R Cttee June 2018.doc

7 CONTACT INFORMATION

Steve Capes, Head of Regeneration and Policy
01629 761371, email steve.capes@derbyshiredales.gov.uk

8 BACKGROUND PAPERS

None

9 ATTACHMENTS

None

BACK TO AGENDA

**GOVERNANCE AND RESOURCES COMMITTEE
14 JUNE 2018**

Report of the Head of Regeneration and Policy

EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2018/19

PURPOSE OF REPORT

The District Council publishes an annual Equality, Consultation and Engagement Plan which sets out how it will meet its public sector equality duties, and what consultation and engagement activities are proposed each year.

This report provides for the Committee's consideration an update on progress against the actions set out in the Equality, Consultation and Engagement Plan 2017-18. This report also seeks approval for the Equalities, Consultation and Engagement Plan for 2018 -19.

RECOMMENDATIONS

1. That progress against the actions in the Equality, Consultation and Engagement Plan 2017-18 (Appendix 1) be noted.
2. That the Equality, Consultation and Engagement Plan 2018-19 as set out in Appendix 2 to this report be approved.

WARDS AFFECTED

All Wards

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. Furthermore the District Council has a duty to consult with the community in carrying out its functions and activities. The Equality, Consultation and Engagement Plan helps the District Council meet its statutory duties.

Meeting the statutory equality and consultation duties ensures that the District Council is able to act in accordance with our values of acknowledging the distinctiveness of our communities, business and residents; and that in carrying out our functions and activities we behave with integrity, courtesy and respect, listening and responding to the best of our abilities and treating everybody fairly.

1 BACKGROUND

- 1.1 The District Council has a comprehensive Equality and Diversity policy¹ which provides the context for the Equality, Consultation & Engagement Plan.
- 1.2 The equalities statutory duty comprises a [general equality duty](#) and a [specific duty](#). 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 duty requires 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.

The [Consultation and Engagement Strategy 2014-2019](#) was agreed at [Corporate Committee on 20 March 2014](#) (Minute No. 387/12). The strategy describes the purpose, principles and priorities in respect of consultation and engagement activity undertaken by the District Council.

Each year the District Council prepares an Equality, Consultation and Engagement Plan which sets out the activity planned for the coming year in line with the strategy's objectives.

2 PROGRESS ON EQUALITY AND CONSULTATION 2017/18

- 2.1 Updated equality information was published on the District Council's website ² as required by legislation on 31 January 2018. A proportional approach to the collection and publication of data continues to be taken, with a particular focus on key service user satisfaction data disaggregated by relevant protected groups.
- 2.2 In 2012, the District Council consulted on three draft equality objectives via an on-line survey sent to equalities organisations and groups operating in the Derbyshire Dales, local voluntary organisations and LSP partners. These equality objectives were agreed at Community & Environment Committee on 19 April 2012 (Minute No. 387/12) and progress is reported annually. Progress towards these objectives at February 2018 is summarised in Appendix 1. The District Council's equality objectives are:

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

² <http://www.derbyshiredales.gov.uk/your-council/equalities/equality-information>

- Improve housing opportunities for vulnerable people
- Help new businesses to start
- Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users

2.3 The Equality, Consultation & Engagement Plan 2017 - 2018 set out for each equality objective at least one or two performance measures/targets, which are detailed in Appendix 1. Of the four identified targets: two have been fully achieved; two were not fully achieved in the financial year.

2.4 The two targets that have been fully achieved at March 2018 are:

- Provide adaptations to the homes of 35 disabled people – 88 adaptations to disabled persons properties have been made.
- Four priority Equality Impact Assessments completed; one was not required.

2.5 The two targets were not fully achieved by the end of March 2018 were:

- Support 115 vulnerable households to access social, training and employment opportunities through an enhanced signposting service, helping them to move on from supported accommodation – 113 people were supported. This target has been revised for 2018-2019 (see Appendix 2).
- Provide support to a further 10 people under 25 interested in starting a new business - 4 young people under 25 years of age were supported. This target has been revised for 2018-2019 (see Appendix 2).

2.6 Equality Impact Assessments:

To minimise the risk of legal challenge and to ensure that the potential impact upon protected groups is taken into account in the District Council's decision making framework, Equality Impact Assessments are prepared. Each year a number of priority Equality Impact Assessments are identified in the Equality, Consultation & Engagement Plan as having to be undertaken, where they are linked to potential future policy development or potential changes in service delivery. Completed Equality Impact Assessments are summarised and presented for Members' review when new or revised policies are being considered at Committee or Council meetings. Completed Equality Impact Assessments are also published on the District Council's website to demonstrate compliance with the Equality Duty.

2.7 Progress on priority EIAs for 2017/18:

The following EIAs were identified in the Equality, Consultation & Engagement Plan 2017/18 (see Appendix 2) and have been completed:

- Markets
- Public Conveniences (2nd Review)
- Leisure Review
- Events Strategy

The following EIA was not required:

- Sex Entertainment Venues Policy

2.8 The Equality, Consultation and Engagement Plan 2017 – 2018 provided a structured framework for the District Council's consultation and engagement activities during the last financial year. This Plan was agreed at [Governance & Resources Committee on 23 March, 2017](#) (Minute No. 449/16). Consultation and Engagement activity of note during 2017 - 2018 includes:

- Online Panel Survey, September 2017. Results were reported to [Council on 30 November 2017](#) (Minute no: 227/17).

3 EQUALITY, CONSULTATION & ENGAGEMENT PLAN 2018 - 2019

3.1 The key areas for consultation that the plan sets out for 2018-19 are:

- Business Rates Discretionary Relief options – as approved by Council on 31 May 2018
- Online panel survey – finding out how satisfied residents are with the District Council, its services and quality of life in the Derbyshire Dales. The survey provides important feedback on the performance of services and suggests areas for improvement, which supports service planning and management.

4. RISK ASSESSMENT

4.1 Legal

Under the provisions of the Equality Act 2010, the District Council has specific statutory duties. 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 could render the Council open to legal challenge. The areas of activity identified within this report seek to reduce any potential risk. However, this area is still considered to be a medium legal risk in light of the requirement to demonstrate that councils have consciously considered their obligations.

The District Council also has a duty to consult, and to demonstrate that it has consulted in making decisions on how to undertake its functions and activities which affect the public. Failure to consult or demonstrate how consultation has influenced the decision making process is an area where the District Council could face legal challenge. As such the areas of activity identified in the Equality, Consultation and Engagement Plan seek to reduce any potential risk.

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

4.2 Financial

The costs of addressing the statutory requirements in relation to Equalities and Consultation are contained within existing service budgets. As such the financial risk is low. However failure to comply with the relevant statutory requirements may expose the District Council to legal challenge and therefore the potential for higher financial risks.

4.3 Corporate Risk

Progressing the activity identified within the report will help manage the risks of legal challenge, enforcement action for non-compliance with statutory equality duties, and potential loss of good reputation.

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.

6 CONTACT INFORMATION

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7 BACKGROUND PAPERS

None

8 ATTACHMENTS

Appendix 1: Equality Objectives 2012-18
Appendix 2: Equality, Consultation & Engagement Plan 2018 - 2019

Equality Objectives 2012-18

PROGRESS TOWARDS 2017 - 2018 EQUALITY TARGETS, March 2018

Summary of Progress		
Status	Number	Percentage
GREEN	2	50%
AMBER	1	25%
RED	1	25%

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 2017 (Also Corporate Plan target)	88 adaptations completed. Up-turn in numbers of referrals and available money.	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	113 households were supported up to the end of March, but the target of 115 has since been achieved albeit later than planned.	A

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 2017	3 supported. Improvements in the economy have led to people taking jobs rather than starting own businesses plus restricted finance opportunities for younger people.	R

Objective 3: Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users			
Service	Target		Risk
Policy	Agree and progress the corporate programme of Equality Impact Assessments	Four completed; one not required	G

EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2017 – 2018

EQUALITY ACTION PLAN

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
Objective 1: Business Growth and Job Creation	Help new businesses to start	10 people under the age of 25 supported in starting a new business	3 supported. Improvements in economy have led to people taking jobs rather than starting own business plus restricted finance opportunities for younger people.	Head of Regeneration and Policy	March 2018
Objective 2: Affordable Housing	Improve housing for vulnerable people	Provide adaptations to the homes of 35 disabled people	70 adaptations completed. Up-turn in numbers of referrals and available monies.	Head of Regulatory Services	March 2018
		Support 150 social housing tenants affected by Welfare Reform to access financial and budgeting advice by March 2018, and where necessary,	Number of social housing tenants supported was 131 against a target of 150 – Although the target was missed by 19 people (13%), the amount of debt being managed through this programme rose from £977K in 2016/17 to	Head of Housing	March 2018

APPENDIX 1

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
		help move home	£1.3m in 2017/18. The complexity of cases has therefore increased and more time is required to deal with fewer clients		
Objective 3 A Clean and Safe District	Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users	% of residents that are satisfied with the refuse and recycling collection service	82% of residents responding to the Council's Online Panel survey are satisfied with the waste & recycling collection service (Online Panel, 2017).	Serco / Head of Environmental Services	March 2018
	Agree and progress the corporate programme of priority Equality Impact Assessments for 2017-18	Programme for 2017-18 completed including: <ul style="list-style-type: none"> • Markets • Public Conveniences – second review • Sex Entertainment Venues • Leisure Review • Events Strategy 	<ul style="list-style-type: none"> • Markets - completed • Public Conveniences – draft EIA incorporating feedback from first round of consultation completed • Sex Entertainment Venues – not actioned as no relevant premises in the District • Leisure Review – completed • Events Strategy - completed 	Heads of Service	March 2018
	Service Reviews – any potential equality impacts to be identified through EIAs	<ul style="list-style-type: none"> • Service Reviews 		Heads of Service	Ongoing

CONSULTATION & ENGAGEMENT ACTION PLAN 2017-18

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
Environmental Services						
Customer satisfaction survey with the waste and recycling service (informing performance indicator WM2)	May and November 2017	Telephone survey by Serco	Sample of 400 local residents	N	Head of Service	Completed.
Public conveniences 2 nd review	December 2017	Website, Parish & Town Councils; dalesMATTERS; subscribers of newsletter	Parish Councils Local residents Tourists	Y	Head of Service	Consultation commenced December 2017; further consultation undertaken February 2018. EIA completed. Report to Special Council, 8 March, 2018 (Minute no: 336/17)
Regulatory Services						
Satisfaction with the development control/ management service	Ongoing	On line survey	Service users	N	Tim Braund/Jon Bradbury	Since the survey was launched more than 12 months ago it has been completed by 22 applicants as compared to nearly 800 people who used the planning application service. Whilst satisfaction with the service is good, it is not considered that the numbers fairly represent all those who access the service.

APPENDIX 1

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
Sex Entertainment Venue policy	April 2017	Prescribed process of consultation	All licensed premises and general public	N	Eileen Tierney	Decision to consult reconsidered as there are no relevant licensed premises operating in the District. No EIA required.
Housing						
Complete 3 rd parish housing needs survey (Tideswell) (HSS11)	TBC	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	N	Rob Cogings/ Isabel Frenzel	Work has focused on ensuring existing schemes complete in the year. No EIA required.
Customer satisfaction with housing needs services	Continual	Face to face survey	Customers	N	Simon Beynon	Not actioned due to additional work re: implementation of homelessness legislation. To be carried out 2018-19.
Resources						
Annual ICT internal satisfaction survey	November 2017	Online survey	Staff at DDDC	N	Nick Blaney	Survey to be carried out on biennial basis. Online survey via Intranet, November 2016 - overall satisfaction rating of 97% across all partners of the joint ICT service.

APPENDIX 1

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
Budget consultation	January-February 2017	Face to face presentation at meetings or electronic/ paper survey. Direct consultation with Business Forums and Community Forums	Business Forums	N	Karen Henriksen/ Karen Ludditt/ Steve Capes	Completed.
Local Council Tax Support Scheme	Summer 2017	TBC	TBC	Y	Karen Henriksen	No change to Scheme in 2017/18.
Business Rates Discretionary Relief	Summer 2017	Online survey	Local small businesses & charities	Y	Karen Henriksen	Proposals on discretionary rate reliefs - EIA completed and consultation on 6 options with organisations potentially impacted in December 2017. Special Council, 5 March 2018, Minute no: 334/17 Further consultation on identified options scheduled in 2018 – 19.
Community Development						
Leisure Services Review	Ongoing through 2017	Workshop with stakeholders Public consultation	Partner stakeholders, local residents,	Y	Ashley Watts	EIA for Leisure Services completed.

APPENDIX 1

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
		TBC	businesses and visitors			
Community Engagement Hub project: Pavilion	Ongoing		Modernise current facilities to be able to use for Club Activities, bookings and events	EIA may be needed for specific projects	Rob Wilks	
Community Engagement Hub project: Public toilets at Artists Corner- Matlock Bath	Ongoing		Modernise current facilities to be able to use for Club Activities, bookings and events	EIA may be needed for specific projects	Rob Wilks	The provision of public toilet facilities at Matlock Bath, Artists Corner was considered as part of a District wide review of public conveniences. Council agreed to further consultation on a proposal for closure (Special Council, 8 March 2018, minute no: 336/17)
Market research into customer profiles and customer satisfaction with Leisure Facilities	June 2017 and ongoing each year until transfer of service	Various - to be determined	Local residents, existing and potential users	N	Dave Turvey	
Ashbourne Skate Park	TBC	Online survey	Potential users and local residents /	Y	Ros Hession	Consultation took place followed by a public meeting and the establishment of a steering group, but the project has now folded.

APPENDIX 1

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
			businesses near the proposed site			
Area Community Forums- Summer	TBC	Public meeting	Local residents Local businesses Service users, Partners	N	All/ Ros Hession	Completed.
Area Community Forums- Winter	TBC	Public meeting	Local residents Local businesses Service users, Partners	N	All/ Ros Hession	Completed.
Performance indicators CRI8 & CRI9 % people feeling safe outside during the day and night	TBC	Survey	Local residents	N	Karen Cooper	Completed. Online Panel survey, November 2017 (Council. 30 November 2017, minute no: 227/17).
Regeneration & Policy						
Business Engagement Programme- business forums	TBC	Six-monthly events, each on a specific theme, plus workshops & networking	Local businesses with growth plans	N/A	Giles Dann	Business Forums / Business Improvement workshops delivered Summer 2017 (Bakewell and Cromford) plus planned and supported Business Peak District spring Conference (Bakewell) inc. engaging businesses on priority

APPENDIX 1

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
						'Asks' of Government post Brexit.
Biennial Business Survey – themed	Autumn 2018	On-line survey	Local businesses	N/A	Giles Dann	Biennial survey – next due Autumn 2018
Evaluate local economic impact of Eroica Britannia 2017	July 2017	Surveys with partners (details TBC)	Businesses, participants and spectators	N/A	Giles Dann	Event moved to new site at Friden from Bakewell. Evaluation of event by event organiser (shared with partners) includes data on local economic impact. Event was successful and will be repeated at same location 15 -17 June 2018.
How's business survey	Autumn 2017	On-line survey	Visitor economy businesses	N/A	Gill Chapman	Not progressed. Deleted from service plan.
Performance indicators POL8 & POL9, N14& N15 % agreeing the Council provides value for money, satisfaction with how the Council runs things, feel can influence decisions in their locality, satisfied with the area	September – October 2017	On-line Panel survey	Local residents	N	Steve Capes	Completed. Report to Council, 30 November 2017 (Minute no: 227/17)

APPENDIX 1

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
Corporate Services						
Customer Satisfaction Monitoring (internal & external) of Business Support services	Ongoing-after service delivery	Online survey	Local residents & stakeholders	N	Sandra Lamb	Survey response rate too low to be valid.



Equality, Consultation & Engagement Plan

2018 – 2019

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 2018 – 2019 supports delivery of the Council's statutory equality duties and therefore sets out:

- How the Council takes account of equalities issues in the decisions it makes (section 3)
- An overview of the Derbyshire Dales community (section 4)
- The Council's equality objectives and the steps it is taking to achieve them (section 5)
- Equality performance indicators used by the Council to monitor its progress
- Equality improvement actions for the year ahead.

The Council also has a duty to consult which is integral to mainstreaming equalities, particularly in the setting and delivery of equality objectives. The Action Plan (at the end of this document) sets out the key pieces of externally facing consultation and engagement that are identified at the time that the service plans are being written. As being aware of the impact of changing

services/policies on different groups of individuals is often crucial in shaping the scope and shape of public consultation, the need to produce an Equality Impact Assessment (EIA) is also identified in this plan. Progress with achieving this plan is reported annually.

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 provide the following picture of the Dales ([ward profiles and other equality information](#) published annually on the Council's website are 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 LGBT+ (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 had an unemployment rate of 0.4% at November 2017 compared with 1.1% for England (DWP Claimant Count [Jobseekers Allowance] November 2017). In addition, in March 2018, 295 persons claimed Universal Credit; of these, 19% (55) were aged under 25 (DWP Claimant Count, March 2018).
- **Wages** – at £530.30 per week in 2017, average earnings by workplace from full time jobs in the Dales are higher than in 2015 (£471.20). The Great Britain average earnings by workplace from full time jobs rose from £528.50 per week in 2015 to £552.30 in 2017 (ASHE, 2017)
- **Deprivation** – Six of the eight districts in the county showed a net improvement in their rankings between ID 2010 and ID 2015. Derbyshire Dales has shown the greatest improvement in ranking. Whilst showing considerable improvement, Matlock St Giles remains the most deprived ward within the Dales, ranking 16 in the county in 2015 compared to 24 in 2010. (English Indices of Deprivation, Summary Analysis for Derbyshire, 2015).
- **Debt** - Debt issues within the Dales remain a real concern. Derbyshire Dales CAB helped with 1992 debt issues on behalf of clients in 2016-17.
- **Fuel poverty** – 3560 households experienced fuel poverty in 2013, constituting 11.3% of all Dales' households, compared to 10% in Derbyshire and 10.4% in England (DECC, May 2015).
- **Child poverty** - Overall child poverty rates remain lower in the Dales (8.8%) than nationally (18.6%), and are 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 2018 - 2019 are:

- Business Growth & Job Creation
 - Help New Businesses to Start
 - Help Existing Businesses to Grow
 - Promote Key Development Sites
- Affordable Housing
 - Identify and Deliver New Affordable Housing Sites
 - Improve Housing for Vulnerable People
- Market Towns
 - Reviving Stall Markets
 - Seeking Public Realm Improvements
- Maintain a Clean and Safe District
- Continue to Seek Efficiencies and Innovative Working Practices

Informed by demographic and monitoring of performance data, our equality objectives for 2018-2019 are:

1. Work with partners to help enable more young people to access employment opportunities in the Dales
2. Enhance opportunities for vulnerable people to access suitable housing and live independently at home for longer
3. 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 2018 - 2019 are set out in the associated action plan at the end of this document. This action plan also includes other corporate equality performance indicators used to monitor the Council's progress in promoting equality,

6. 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) 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.

7. Further Information

Policy Officer (Consultation and Equalities)
Regeneration and Policy
Derbyshire Dales District Council
Town Hall
Matlock
DE4 3NN

Email: lynne.cheong@derbyshiredales.gov.uk

Website: <http://www.derbyshiredales.gov.uk/your-council/equalities>

EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2018 – 2019

EQUALITY ACTION PLAN

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
Objective 1: Business Growth and Job Creation	Help new businesses to start	5 people under the age of 25 supported in starting a new business		Head of Regeneration and Policy	March 2019
Objective 2: Affordable Housing	Improve housing for vulnerable people	Provide adaptations to the homes of 70 disabled people		Head of Regulatory Services	March 2019
		Provide debt and welfare advice to 250 vulnerable households		Head of Housing	March 2019
Objective 3 A Clean and Safe District	Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users	% of residents that are satisfied with the refuse and recycling collection service		Serco / Head of Community and Environmental Services	March 2019
	Agree and progress the corporate programme of priority Equality Impact Assessments for 2018-19	Programme for 2018-19 completed including: <ul style="list-style-type: none"> Final Business Rates Discretionary Relief proposals 		Heads of Service	March 2019
	Service Reviews – any potential equality impacts to be identified through EIAs	<ul style="list-style-type: none"> Service Reviews 		Heads of Service	Ongoing

CONSULTATION & ENGAGEMENT ACTION PLAN

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
Regulatory Services						
Satisfaction with the development control/ management service	Ongoing	On line survey	Service users	N	Tim Braund/Jon Bradbury	
Housing						
Complete 2 parish housing needs survey (HSS11)	March 2019	Postcard to each household in Parish asking them to complete online survey / phone. Publicity by Parish newsletter, Parish meetings / community events.	Residents in the Parish	N	Rob Cogings/ Isabel Cogings	
Consultation on regeneration projects, Hurst Farm, Matlock	Summer 2018	External consultants appointed by Waterloo HA undertaking a range of survey & engagement	Hurst Farm residents	N	Marie-Christine Schmidt	

APPENDIX 2

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
Customer satisfaction with housing needs services	TBC	Face to face survey	Customers	N	Simon Beynon	
Consultation with stakeholders effected by proposals to charge increased Council Tax on empty properties to identify which of the initiatives they would find most helpful	Summer 2018	On line survey	Affected stakeholders	N	Rob Cogings	
Resources						
Biennial ICT internal satisfaction survey	November 2018	Biennial online survey	Staff at DDDC	N	Nick Blaney	
Budget consultation	January-February 2019	Presentation at meetings or electronic/ paper survey. Business Forums and Community Forums	Residents and businesses	N	Karen Henriksen / Steve Capes	

APPENDIX 2

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
Local Council Tax Support Scheme	Summer 2018	TBC	TBC	Y	Karen Henriksen	
Business Rates Discretionary Relief	Spring 2018	Online survey	Local small businesses, charities and community groups	Y	Karen Henriksen	
Community and Environmental Services						
Customer satisfaction survey with the waste and recycling service (informing performance indicator WM2)	May and November 2018	Telephone survey by Serco	Sample of 400 local residents	N	Head of Service	
Customer survey to generate ideas to encourage residents to use food waste recycling more	May 2018	Telephone survey by Serco	Sample of 400 local residents	N	Head of Service	
Community Engagement Hub project: Pavilion	Ongoing		Modernise current facilities to be	EIA may be needed	Rob Wilks	

APPENDIX 2

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
			able to use for club activities, bookings and events	for specific projects		
Market research into customer satisfaction with Leisure Facilities	June 2017 and annual after transfer of service	Various - to be determined	Residents, existing and potential users	N	Dave Turvey	
Area Community Forums- Summer	TBC	Public meeting	Residents, businesses, Service users, Partners	N	All/ Ros Hession	
Area Community Forums- Winter	TBC	Public meeting	Residents, businesses, Service users, Partners	N	All/ Ros Hession	
CRI8 & CRI9 % people feeling safe outside during the day and night	November 2018	Online Panel Survey	Local residents	N	Karen Cooper	
Regeneration & Policy						
Business Engagement Programme- business forums/workshops	First event July	Six-monthly themed events, plus workshops & networking	Local businesses with growth plans, inc. larger firms	N/A	Giles Dann	

APPENDIX 2

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer	Progress
Biennial Business Survey – themed	Autumn 2018	On-line + phone survey	Local businesses	N/A	Giles Dann	
Discretionary Business Rates Policy Proposals	July 2018	On-line survey + letters to those affected	Not for profit organisations and local businesses	Yes	Steve Capes	
Performance indicators POL8 & POL9, N14 & N15 % agreeing the Council provides value for money, satisfaction with how the Council runs things, feel can influence decisions in their locality, satisfied with the area	September – October 2018	On-line Panel survey	Local residents	N	Steve Capes	
Corporate Services						
% of customers satisfied with internal Business Support services	Ongoing-after service delivery	Online survey	Local residents & stakeholders	N	Sandra Lamb	

BACK TO AGENDA

GOVERNANCE & RESOURCES COMMITTEE
14 JUNE 2018

Report of the Head of Resources

ICT STRATEGY 2018 - 2021

PURPOSE OF REPORT

The 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.

RECOMMENDATION

That the Derbyshire Dales District Council ICT Strategy 2018-2021 is adopted.

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.

- 1.4 The current Derbyshire Dales District Council ICT Strategy, for 2015-2018, was approved by the Governance and Resources Committee on 16 July 2015. The current strategy is about to expire, hence the need for a review.

2 DERBYSHIRE DALES DISTRICT COUNCIL ICT STRATEGY

- 2.1 The proposed Derbyshire Dales ICT Strategy for 2018 – 2021 is appended to this report at Appendix 1. This council-specific strategy focuses on the service improvements, both in systems and hardware that the District Council expects to implement over the next three 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.

- 2.2 Key points and planned activities include:

- Replacement of ageing data cabling at Town Hall to support IP telephony and future throughput demands;
- Replacement of servers and storage devices;
- Replacement of Uninterruptible Power Supply for Matlock Town Hall server room
- Replacement of virtual desktop server infrastructure;
- 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;
- Upgrades to Microsoft Windows and Office;
- Upgrade of Income Management System;
- Completion of Electronic Document Management System installation.

- 2.3 Section 4 of the proposed ICT Strategy shows how the Council plans to fund the improvements shown above. £221,000 of capital funding (from the ICT Renewals Reserve) and £151,500 in revenue funding (for the three years, covered by this strategy, based on 2018/19 budget) has been approved to fund these investments. The current approved investment plan is shown in Appendix B to the strategy.

- 2.4 After funding the capital investments set out in the investment plan, the ICT renewals reserve has a balance of £199,967, which is available to fund planned activities (shown in section 3 of the proposed ICT Strategy) such as a new telephony system.

3 RISK ASSESSMENT

3.1 Legal

The ICT Strategy forms a plan to ensure that there is adequate technology to support District Council services. The legal risk is low.

3.2 Financial

The ICT Renewals Reserve has a balance of £421,079 as at 1st April 2018, 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”.

3.3 Corporate Risk

Adequate IT is required to support all the District Council's services and improvement priorities.

There is a risk that the transformation programmes such as channel development, EDMS and agile working (against accelerated demand for change) do not realise the benefits they set out to complete and as a result costs savings and efficiencies do not materialise. This risk has been included in the Council's Strategic Risk Register and has been assessed as Medium Risk.

The provision of ICT services may be affected by cyber-crime, which has the potential to cause disruption to services, loss of data (possibly sensitive personal data), reputational damage, financial losses and a loss of productivity. This risk has been included in the Council's Strategic Risk Register and has been assessed as Medium Risk.

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

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

6 BACKGROUND PAPERS

None

7 ATTACHMENTS

Appendix 1 Derbyshire Dales District Council ICT Strategy 2018 - 2021

Appendix 1

Derbyshire Dales District Council – ICT Strategy 2018-2021

Document History

Document Location This document is only valid on the day it was printed.
The source of the document will be found in (see footer)

Revision History Date of this revision: 16th May 2018
Date of next revision: 2021

Revision date	Ver	Summary of Changes	Author	Changes marked
1/2/18	1	First draft	Nick Blaney	
14/3/18	1.1	Following comments from CLT	Nick Blaney	Yes
15/3/18	1.2	Changes approved at Service Review	Nick Blaney	No
16/05/18	1.3	Title amended to extend to 2021. Addition of Proposed Investment Plan (Appendix B)	Karen Henriksen	No

Approvals This document requires the following approvals.

Name	Signature	Title	Date of Approval	Version
Karen Henriksen		Head of Resources		
Nick Blaney		ICT Manager		
Ian Brailsford		User Group Representative		

Distribution This document has been distributed to:

Recipients	Date of Issue	Version
Joint ICT Service		
Derbyshire Dales ICT User Group		
Derbyshire Dales Staff and Members via SIDD and Members Portal		

Derbyshire Dales District Council – ICT Strategy 2018-2021

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Derbyshire Dales District Council – ICT Strategy 2018-2021

1. EXECUTIVE SUMMARY

The District Council is part of the Joint ICT Service, which is a shared service partnership with Bolsover and North East Derbyshire District Councils. The District Council became part of the service on the 1st of January 2010 with the full three partner service coming into effect on January 1st 2011.

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.

There is a joint ICT strategy in place for the shared service partnership that focuses on the following areas:

- Service Delivery
- Service Improvement
- Customer engagement
- Procurement
- Partnership working (shared)
- Technology roadmap
- Measures of Success
- Business Planning
- Financial Management
- Risk Management
- External influences
- Governance

Members of the Corporate Leadership Team and ICT User group have been consulted in the development of this strategy.

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.

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

This strategy will be regularly reviewed and updated as required as the Council's transformation plans evolve.

Derbyshire Dales District Council – ICT Strategy 2018-2021

2. SERVICE DELIVERY

The service will continue to be delivered in the main part by the joint ICT service. The District Council retains a resource within Corporate Services which administers the IDOX Uniform system and acts as the Geographical Information Systems (GIS) and Local Land and Property Gazetteer (LLPG) Officer.

First point of contact for the District Council users is the Service Desk. This and other areas of ICT will continue to work to the best practice processes of the IT Infrastructure Library (ITIL).

To determine the success of service delivery key performance indicators(KPI's) are defined in the Service Level Agreement(SLA), monitored on a monthly basis and targets reviewed annually.

Biennial Customer Satisfaction Surveys and ad hoc surveys will be undertaken to gauge the perception of users of the service in conjunction with the KPI's.

Management Information from the Service Desk application will be used to monitor trends through categorisation and analysis of incident and problems to deliver continuous improvement.

Projects will be delivered using the North East Derbyshire Project Management Methodology to ensure that project benefits are understood and a full analysis of the realisation of those benefits is undertaken. Projects are monitored through a project register and reported via Service Reviews and governance channels.

3. IT TRANSFORMATION

The ICT service will continue to work with CLT and Departments to deliver innovative solutions to support service improvement plans. These will largely be driven by the Transformation programme and from the outcomes of ongoing service reviews.

Current activities underway and planned are:

Activities underway:

- Mobile working for Clean and Green team (PSSLive)
- Electronic Document Management System
- Assure Environmental Health Upgrade
- Mayrise Self Service
- Channel shift

Derbyshire Dales District Council – ICT Strategy 2018-2021

Activities planned:

- Electronic online payments
- Customer Access strategy
- Telephony replacement
- Opportunities for skills collaboration across partnership and wider public sector community. Focus on Project management, business process engineering and solutions analysis

The Transformation Programme will be updated and refreshed and this strategy, along with the Joint ICT Service strategy, will need to provide the flexibility and agility to support this. The outcome will be:

1. Significant cost reductions;
2. Streamlined, efficient working processes and procedures;
3. Creation of income generation opportunities;
4. Services that focus on the customer whilst achieving optimal operation efficiency.

4. TECHNOLOGY ROADMAP

Over the last 3 years a number of key of Infrastructure and business application projects have been undertaken:

- Deployment of a new remote access solution
- New leisure management systems
- Replacement of production server and storage systems
- Replacement of Disaster Recover storage solution in conjunction with partners
- Complete refresh of our wide area network delivering improved performance, reduced cost and opportunities to increase capacity
- Introduction of remote access solutions to aid flexible working
- Public WiFi at Matlock Town Hall
- HR 'Self Service'
- Mobile working for Clean and green team
- Agile working for Environmental Health

A five year capital and revenue replacement plan was developed at the start of the Joint ICT Service and this is refreshed at least annually. For the three years of this strategy the key infrastructure projects identified are:

- Replacement of ageing data cabling at Town Hall to support IP telephony and future throughput demands (£70,000 capital investment)
- Rolling programme of laptop and desktop replacement in readiness for Windows 10 (£27,500 revenue funding)

Derbyshire Dales District Council – ICT Strategy 2018-2021

- Windows 10 deployment during 2018 and 2019 (£12,000 capital investment)
- Deployment of Server 2016 (£7,000 revenue funding)
- Rollout of Office 2013 and Upgrade of the Exchange email solution (£5,000 revenue funding)
- Replacement for Windows 7 and Office 2010 (£80,00 capital investment)
- Replacement of virtual desktop server infrastructure (£28,000 capital investment)
- Replacement of the backup storage infrastructure (£2,000 revenue funding)
- Replacement of Uninterruptible Power Supply for Town Hall Server room (£9,000 revenue funding)
- Upgrade of Income Management System (£15,000 capital investment)
- Completion of Electronic Document Management System installation (£16,312 capital investment)

£221,000 of capital funding (from the ICT Renewals Reserve) and £151,500 in revenue funding (for the three years, based on 2018/19 budget) has been approved to fund these investments. The current approved investment plan is available in Appendix B.

After funding the capital investments set out above, the ICT renewals reserve has a balance of £199,967 to fund planned activities such as those set out in section 3 above.

Derbyshire Dales District Council – ICT Strategy 2018-2021

Appendix A – Service Improvement Action Plan

Improvement	Lead Officer	Target Date	Expected Outcome	Resources	Progress Update	Actual Outcome
Access to skills and resource	ICT Manager	June 2018	Shared resource to provide project management, business process reengineering and solutions analysis skills	Staff time and targeted expenditure	Participation in a SCR working group	
Support the Derbyshire Dales Transformation Programme	Head of Regeneration and Policy/ ICT Manager	Ongoing	<ol style="list-style-type: none"> 1. Significant cost reductions 2. Streamlined, efficient working processes and procedures 3. Creation of income generation opportunities 4. Services that focus on the customer whilst achieving optimal operation efficiency 	Staff time and expenditure	Customer Access Strategy drafted	
Deliver the ICT Technology Roadmap	ICT Manager	December 2020	Maintain compliance and 'fit for purpose' infrastructure	Staff time and expenditure	Capital and revenue budget plans in place. Procurement underway for data cabling replacement.	

Derbyshire Dales District Council – ICT Strategy 2018-2021

Appendix B - Investment plan

SCHEME	COMMENTS	2018/19 £	2019/20 £	2020/21 £	TOTAL £
Electronic Document Management System	Completion of project	16,312		0	16,312
Matlock Town Hall Re-cabling	To address issues with existing cabling	70,000	0	0	70,000
Microsoft Enterprise Agreement	Replacement for Windows 7 and Office 2010.	0	0	80,000	80,000
Virtual Desktop Server Replacement	To provide a virtual desktop solution.	28,000	0	0	28,000
Microsoft Windows Server Licence Upgrade	Upgrade of windows licences.	12,000	0	0	12,000
Income Management System Upgrade	Upgrade to version 11 to remain supported.	15,000	0	0	15,000
Total		141,312	0	80,000	221,312

All the projects listed above have been included in the Capital Programme that was approved on 31 May 2018; all projects will be financed from the ICT Renewals Reserve.

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
14 JUNE 2018

Report of the Head of Resources

**GENERAL DATA PROTECTION REGULATION (GDPR):
PROGRESS REPORT**

PURPOSE OF REPORT

This report provides an update of progress against the General Data Protection Regulation (GDPR) Action Plan and recommends that a further Members' Workshop on GDPR be provided.

RECOMMENDATION

1. That progress against the General Data Protection Regulation (GDPR) Action Plan is noted.
2. That a further GDPR Briefing be provided for Members who were unable to attend the session that was held in May 2018.

WARDS AFFECTED

None

STRATEGIC LINK

Sound arrangements for information governance and data protection support the District Council's values to be open and transparent when making decisions and to use public resources ethically and responsibly.

1 BACKGROUND

- 1.1 Members will be aware from previous reports to this Committee that the General Data Protection Regulation (GDPR) came into force in May 2018. The GDPR gives the Information Commissioner's Office (ICO) the power to issue fines of up to €20m, or 4% of turnover, whichever is greater. This demonstrates that the importance of managing Data Protection risk appropriately has increased considerably.
- 1.2 Members have previously approved a GDPR Action Plan that was aimed at ensuring that the Council would be fully prepared for the introduction of GDPR in May 2018. The purpose of this report is to set out current progress against the GDPR Action Plan,

2 REPORT

2.1 Progress against GDPR Action Plan

In January 2017, members approved the GDPR Action Plan. Good progress has been achieved in relation to ensuring improved compliance with existing legislation and being fully prepared for the introduction of the GDPR in May 2018. An updated Action Plan is shown in Appendix 1.

At the time of writing this report the key actions that remain outstanding are set out below:

- Ongoing cleansing of old records;
- Amendments to some contracts e.g. preparation of data sharing agreements;
- Some forms have yet to be updated to reflect new privacy notices.

2.2 Members' Briefing

On 14 May 2018 the Data Protection Consultant, Jane Foley, and the Information Governance Officer, Wayne Gorman, presented a Members' Briefing on GDPR. The briefing provided:

- Knowledge and understanding of the new legal requirements; and
- An understanding of the risks and implications for the Council.

The briefing was relevant to all Councillors, especially those who are members of the Governance & Resources Committee. Members who attended the workshop gave positive feedback and said that they would recommend the workshop to others. However, only 11 of the 39 Council members attended.

It is essential that all Members are aware of the new legal requirements and that they have an understanding of the risks and the implications for the Council. It is therefore recommended that a further GDPR Briefing be provided for Members who were unable to attend the session that was held in May 2018, and that Members be urged to attend.

3 RISK ASSESSMENT

3.1 Legal

All organisations in the UK that collect, process or store personal information must comply with the Data Protection Act 2018 (DPA) and the EU General Data Protection Regulation (GDPR), which prescribes penalties of up to 4% of annual global turnover or €20 million. All organisations that process EU residents' data were required to comply with the GDPR by 25 May 2018.

The legal risk is currently assessed at medium.

3.2 Financial

The current revenue budget includes provision for the salary and oncosts of an Information Governance Officer, on an ongoing basis.

Failure to comply with the Data Protection Act can result in significant fines and/or enforcement action.

The financial risk of implementing the recommendations of this report is assessed as “low”.

3.3 Corporate Risk

Adequate Information Governance and arrangements for Data Protection are required to support all the District Council’s services. Effective arrangements for data protection will ensure that the Council does not risk financial or reputational damage arising from data protection security breaches. ‘Data Protection and Information Governance’ in the Council’s Strategic Risk Register is currently assessed as ‘medium’, pending the full implementation of the General Data Protection Regulation (GDPR) Action Plan.

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

Appendix 1 - Progress against GDPR Action Plan as at 1 June 2018

Derbyshire Dales District Council - General Data Protection Regulation (GDPR) Action Plan

Progress as at 1 June 2018

Green	Actions Completed
Yellow	Target date is in the future
Amber	Actions in Progress/Ongoing
Red	Actions outstanding

	Action	Who	By When	Expected Outcome	Actual Outcome	Comments	Status?
1	Ensure all office based employees undertake LOLA Data Protection Awareness on-line learning	Human Resources	July 2017 December 2017 February 2018	All employees trained on basic data protection and training records updated.		Completed by majority of office based staff. Reminders sent to those who need to complete the training.	Completed
2	Non office-based employees briefed on data protection.	Data Protection Consultant with managers	January 2018 March 2018	All employees trained on basic data protection and training records updated.	None Office based staff have been trained (Duty Managers trained at leisure, in turn training other employees)		Completed
3	Plan and deliver a 'Tidy Up Your Data' week'	Data Protection Consultant/ Comms	12 th -16 th June 2017	Dedicated week of activities, training, surgeries and internal communication	Communicated via SIDD. Links to documents, ICT tip of the day, training delivered etc.		Completed

	Action	Who	By When	Expected Outcome	Actual Outcome	Comments	Status?
4	Deliver training in the form of a workshop to key staff on data protection Privacy Impact Assessments.	Data Protection Consultant/ Comms	June 2017	Managers aware of the need to build privacy into new service delivery and systems.	Two sessions delivered. 18 officers attended the workshops. Follow on discussions as a result of the training.		Completed
5	Launch documentation on Privacy Impact Assessments following the training.	Data Protection Consultant	June 2017	Managers equipped with the correct paperwork to undertake PIAs	Documentation launched during the training and now available on X drive.		Completed
6	Review 'Data Protection Asset Register' format and add new EU regulation requirements.	Data Protection Consultant	By late April 2017	Accurate central record of information held by each council which is covered by General Data Protection Regulation.	Completed and in use. A check will be needed in 2018 when Regulations are finalised.		Completed
7	With departments, review content of the 'Data Protection Asset Register' and issue action plans for each department/section as appropriate.	Data Protection Consultant/ Information Governance Officer	31 March 2018	Accurate central record of personal data held across the Council.	As at 03/05/18 44 PDARs have been completed and action plans issued as appropriate.		Any newly discovered asset registers will be completed as & when they are discovered

	Action	Who	By When	Expected Outcome	Actual Outcome	Comments	Status?
8	Identify all areas of emerging technology to ensure compliance with basic data protection principles.	Data Protection Consultant	June 2017	Links to action above	Guidance given on CCTV to Leisure and Community Safety. Survey Monkey checks done. Leisure on-line checks done.		Completed
9	Data Loss Prevention tool procured to prevent data leakage.	ICT Manager	TBC	Improved email security.	IGB 05/07/17 Agreed that not cost effective		Completed, but agreed not to implement
10	Check X drive to ensure all files containing personal data are locked down.	Data Protection Consultant the Information Governance Officer	June 2017 Then ongoing	No personal data found in insecure areas.	X drive checks and Y drive (photographs) completed. Feedback provided to relevant officers; recommended actions.	Completed June 2017: Now ongoing	Completed-ONGOING
11	Deliver briefing sessions on the implications of the new General Data Protection Regulation to all key managers.	Data Protection Consultant	February 2018	All key managers aware of the changes and the implications for their areas.	9 Sessions have been identified and booked for February	10 Sessions delivered 112 staff attended. 101 Feedback forms received with majority of comments and scores were positive	Completed

	Action	Who	By When	Expected Outcome	Actual Outcome	Comments	Status?
12	'Know Your GDPR' 10 weeks and counting.... Internal publicity on SIDD.	Information Governance Officer/ Comms	8 th - 12 th January 2018 12 th - 16 th March 2018	General internal awareness campaign.		Started "100 days and counting"	Completed
13	Produce new Data Protection Policy to be approved by CLT and Members	Data Protection Consultant	May 2018	New policy which mirrors duties in General Data Protection Regulation.	Approved – with delegated authority.	Needs adding to SIDD & Website after deciding whether to add section re photographs and consent.	Completed
14	Review current Fair Obtaining Notice guidance and prepare Privacy Notice guidelines, include reviewing 'consent'.	Data Protection Consultant	May 2018	Revised guidance for those collecting personal data. Generic Council Privacy Notice. Departments to have reviewed and amended forms, verbal scripts etc. Consent fully covered on Privacy Notices.	Completed and will be distributed on SIDD and advertised as part of 10 weeks and counting (w/c 12 th March)		Completed
15	Produce briefing for departments on new 'erasure' requirement.	Data Protection Consultant	May 2018	All departments aware of and able to erase records (if legal) on request.		Included in guidance documents as above	Completed

	Action	Who	By When	Expected Outcome	Actual Outcome	Comments	Status?
16	Consider how personal data will be supplied under new 'data portability' requirement <u>if relevant</u> .	Data Protection Consultant	May 2018	Subject access requests provided electronically.		Included in guidance documents as above. Unlikely that this will be a key issue for Local Government.	Completed
17	Update subject access request (SAR) information and procedures.	Data Protection Consultant/ Information Governance Officer	May 2018	Compliant with new regulation from go live date.		New SAR forms uploaded during website update	Completed
18	Establish a procedure for releasing data to third parties (not covered by Information Sharing Agreements) e.g. Police, Inland Revenue, insurance companies etc.	Data Protection Consultant	May 2018	Established process which may need amending once GDPR is in place.		Third Part Data Requests to be handled by IGO	Completed
19	Rewrite Data Protection Breach Management Guidance into a procedure approved by CLT.	Data Protection Consultant/ Information Governance Officer	May 2018	Formal procedure in place for all employees to work to.		Guidance added to SIDD	.Completed

	Action	Who	By When	Expected Outcome	Actual Outcome	Comments	Status?
20	Consider implications for controller-processor relationship and rewrite Data Sharing Agreements with partners such as Arvato, Serco, Home Options, DWP etc. and review procedures for sharing	Data Protection Consultant/ Information Governance Officer	May 2018	'Data Processor' relationship with Arvato and others re-defined under new regulations.	Work with Arvato nearing completion. PDAR completed with Arvato and Action Plan in place. Serco, Home Options ,and DWP require updated contractual terms and data sharing agreement/ protocol.	IGO working with Legal Team and third parties to finalise Data Sharing Agreements, Protocols and contractual changes	Ongoing
21	Retention checks should be conducted to ensure data is not being kept longer than is necessary	Information Governance Officer	May 2018	Personal data not being stored electronically or hard copy longer than is necessary.	Some checks undertaken as part of X drive checks and PDAR.	Completed as part of PDARs	Completed
22	Update intranet and website to reflect GDPR.	Information Governance Officer/ Comms	May 2018	Staff and public fully aware of data subject rights.	SIDD & Website updated		Completed
23	Review CCTV guidance, control documents etc	Data Protection Consultant	May 2018	Procedures in-line with new regulations.	Some interim documents provided to Leisure and Community Safety.	System reviewed & community safety advised further in relation to compliance documents	Completed

	Action	Who	By When	Expected Outcome	Actual Outcome	Comments	Status?
24	Establishing monitoring procedures to ensure compliance	Information Governance Office /Data Protection Consultant	May 2018	Establish regular reports and PIs as appropriate		New ICO guidance issued in relation to PIAs IGO and DPC to update Council's documents. Ongoing compliance also measured through PDARs	Completed
25	Check LOLA (e-learning) for new modular on GPPR, replace existing package and ensure delivered to all office based employees.	Human Resources	July 2018	Mandatory training delivered to employees on new legislation.	New Local Authority GDPR module produced.		Completed
26	GDPR training workshops to be provide to elected members and senior council officers	Data Protection Consultant/ Information Governance Officer	May 2018	All managers and elected members are aware of the impact of the new legislation and the effect on their service areas.		Training session delivered – Mop up session or one to ones to be provided to Elected Members who were unable to attend.	Completed
27	Consider implications for Elected Members	Data Protection Consultant/ Information Governance Officer	May 2018	Elected Members compliant with the new regulations		Members trained as above	Completed

	Action	Who	By When	Expected Outcome	Actual Outcome	Comments	Status?
28	Consider implications for Electoral Registration	Head of Corporate Resources/ Data Protection Consultant/ Information Governance Officer	May 2018	In line with new regulations	Completed	Completed	Completed
29	Ensuring return of PDAR action plans.	Information Governance Officer	May 2018	In line with new regulations.			Completed

BACK TO AGENDA

GOVERNANCE & RESOURCES COMMITTEE
14 JUNE 2018

Report of the Head of Resources

INFORMATION GOVERNANCE FRAMEWORK 2018 - 2021

PURPOSE OF REPORT

This report seeks approval for an Information Governance Framework, which sets out the requirements, standards and best practice that apply to the handling of information.

RECOMMENDATION

That the Information Governance Framework 2018-2021 is adopted.

WARDS AFFECTED

All

STRATEGIC LINK

The Information Governance Framework 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 involves the 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.
- 1.2 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.
- 1.3 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.

- 1.4 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.
- 1.5 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.

- 1.6 The current Derbyshire Dales District Council Information Governance Framework and Strategy, for 2015-2018, was approved by the Governance and Resources Committee on 16 July 2015. All the actions set out in that strategy have now been completed. The current framework is about to expire, hence the need for a review and an updated document.

2 DDDC INFORMATION GOVERNANCE FRAMEWORK 2018 - 2021

- 2.1 A draft framework for 2018 - 2021 is shown in Appendix 1. The framework has been updated to reflect changes in personnel, systems and procedures, but mainly to reflect legislative changes required by the Data Protection Act 2018 and the general Data Protection Regulation. Key principles of the Framework include:
- Standard policies and procedures will be in place to implement legislative and regulatory requirements;
 - Information will be made available only to those who have a legitimate right of access;
 - A strong focus on data quality will ensure that information is accurate;
 - Storage and security of information will be managed effectively;

- Employees and members will have the necessary skills and guidance 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;
- Comprehensive Personal Data Asset Registers will be maintained;
- An Information Classification System and System of Protective Marking has recently been introduced.

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

- Head of Resources (Chair and Senior Information Risk Officer)
- Senior Solicitor
- Business Support Manager
- Joint ICT Manager
- Information Governance Officer (since his appointment in August 2017)

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

3 RISK ASSESSMENT

3.1 Legal

The Information Governance Framework aims to mitigate against the risk that information is handled in a way that is not legally compliant and meets best practice. The legal risk is low.

3.2 Financial

The costs of implementing the Framework 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. 'Data Protection and Information Governance' in the Council's Strategic Risk Register is currently assessed as 'medium', pending the implementation of the General Data Protection Regulation (GDPR) Action Plan.

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

Karen Henriksen, Head of Resources, Telephone 01629 761284

Email: karen.henriksen@derbyshiredales.gov.uk

6 BACKGROUND PAPERS

None

7 ATTACHMENTS

Appendix 1: Draft Information Governance Framework and Strategy 2018 – 2021.



Information Governance Framework 2018

CONTROL SHEET FOR: Information Governance Framework

Strategy Details	Comments / Confirmation
Name	Information Governance Framework 2018
Strategy author	Head of Resources/Information Governance Officer
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)	June 2021

Change History		
Version No.	Date	Change Details
1.0	20/03/18	Initial Draft for IG Board
2.0	16/05/2018	Draft for CLT
3.0	05/06/18	Draft for Committee approval
4.0		

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1. Introduction

This framework sets out the approach taken by 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 framework aims to outline our approach to Information Governance.

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 framework is:

- Data Protection Act 2018
- General Data Protection Regulation 2018 (GDPR)
- 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 framework will be through the following model:

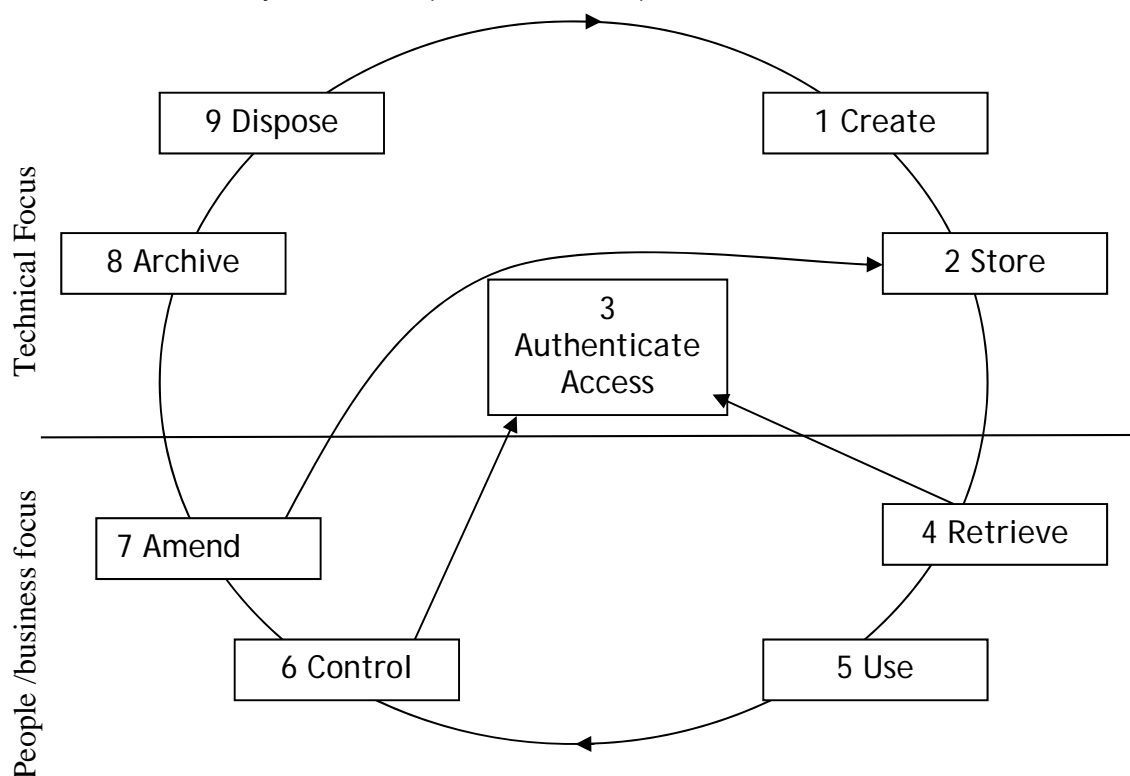
Governance Role	Responsibility	Officer(s)
Strategic Sponsor	High level sponsorship of the strategy and its implementation	Chief Executive
Information Governance Board	Sets the strategic direction for Information Governance and monitors progress	Head of Resources/Data Protection Officer Information Governance Officer Solicitor Business Support Manager Joint ICT Manager
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, volunteers, agency staff 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:

1. Create	<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.
2. Store	<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.

	<ul style="list-style-type: none"> Personal data should not be left on view in line with the Clear Desk Policy and Data Protection Policy
3. Authenticate Access	<ul style="list-style-type: none"> The Information Security Policy should be followed at all times. 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 in line with the Information Security Policy.
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 and the Data Protection Policy
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 in line with the Data Protection Act. 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, dated 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. Certificates of destruction should be maintained when data is destroyed by outside organisations.

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.

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. Training will be refreshed every two years.

4. Information Governance Structure

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 Structure:

	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. All policies and procedures can be found on the intranet.				
New & Changed	Information governance issues will be considered for all new and changed information systems or deployment of ICT. The issues arising				

Systems	will be documented and assessed using information risk management methods where information assurance is identified as an issue. If the new or changed system processes personal data then a Data Protection Privacy Impact assessment will be required before implementation.
Monitoring & Compliance	There will be a timely and effective monitoring, reporting and compliance regime controlled through the Information Governance Board, 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.

The Council will monitor adherence to the framework through annual reviews of Personal Data Asset Registers. The framework itself will be reviewed every three years in line with Council Policy.

BACK TO AGENDA



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JOINT CONSULTATIVE GROUP

Minutes of a Meeting held on Thursday 8 February 2018 in the Council Chamber, Town Hall, Matlock at 2.30pm

PRESENT Ashley Watts In the Chair

Councillors Tom Donnelly, Stephen Flitter, Chris Furness, Jean Monks, Joyce Pawley and Garry Purdy

Representing UNISON –Keith Postlethwaite and
Representing GMB – Ian Buxton

Dorcas Bunton (Chief Executive), Chrissie Symons (Human Resources Officer), Annette Reading (Democratic & Electoral Services Assistant) and James Riggott Collins (Corporate Support Apprentice)

APOLOGIES

Apologies for absence were received from Councillor Albert Catt, Councillor Lewis Rose, Andy Cairns (UNISON), Jon Bradbury (GMB), Denise Dawson (UNISON) and Deborah Unwin (Human Resources Manager). Councillors Tom Donnelly and Chris Furness attended as nominated substitute members.

MINUTES

It was moved by Councillor Jean Monks, seconded by Councillor Joyce Pawley and

AGREED That the minutes of the meeting of the Joint Consultative Group held
(Unanimously) on 20 June 2017 be approved as a correct record.

MANAGING, VIOLENCE, BULLYING, HARASSMENT AND AGGRESSION AT WORK POLICY

In 2017 the Safety Committee reviewed lone working arrangements and it was agreed that the Harassment and Aggression Policy should be updated. The initial draft was edited by the Human Resources Manager and discussed at the Employee Group meeting on 20 September 2017. Following this meeting the draft policy was sent out for consultation to all staff concluding with discussion at the Employee Group meeting on 13 December 2017 when all comments were incorporated. The proposed policy was then discussed at the Corporate Leadership Team meeting on 16 January 2018 and their comments, together with those of the Data Protection Officer, were incorporated.

Implementation of the new policy will be supported by staff briefings and training for officers most likely to be at risk, as identified by the Human Resources Manager in conjunction with Heads of Service.

Following discussion at the meeting it was agreed that Section 9.5.3 was potentially misleading as it infers that only the Council refer an incident of inappropriate behaviour towards an employee from a member of public to the police. Individuals also have the right and it was agreed the section should be reviewed and possibly expanded to reflect this.

It was moved by Councillor Furness, seconded by Councillor Jean Monks and

AGREED That subject to a review of Section 9.5.3, the Governance &
(Unanimously) Resources Committee be recommended to adopt the Managing Violence, Bullying, Harassment and Aggression at Work Policy at its meeting on 1 March 2018.

EMPLOYEE GROUP – NOTES OF THE MEETINGS HELD ON 21 JUNE, 20 SEPTEMBER AND 13 DECEMBER 2017

It was moved by Councillor Joyce Pawley seconded by Councillor Chris Furness and

AGREED That the notes of the Employee Group meetings held on 21 June, 20
(Unanimously) September and 13 December 2017 be received.

SAFETY COMMITTEE – NOTES OF MEETINGS HELD ON 9 AUGUST, 18 OCTOBER 2017 AND 30 JANUARY 2018

It was moved by Councillor Joyce Pawley, seconded by Councillor Tom Donnelly and

AGREED That the notes of the Safety Committee meetings held on 9 August,
(Unanimously) 18 October 2017 and 30 January 2018 be received.

Meeting Closed 2.45 pm

Chairman

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