

# Agenda

Dorset County Council



Meeting: Cabinet

Time: 10.00 am

Date: 23 May 2018

Venue: Committee Room 1, County Hall, Colliton Park, Dorchester, Dorset, DT1 1XJ

Rebecca Knox (Chairman)  
Tony Ferrari  
Peter Wharf

Steve Butler  
Jill Haynes

Deborah Croney  
Daryl Turner

## Notes:

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- **Public Participation**

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### Public Speaking

Members of the public can ask questions and make statements at the meeting. The closing date for us to receive questions is 10.00am on 18 May 2018, and statements by midday the day before the meeting.

**Debbie Ward**  
Chief Executive

Contact: Lee Gallagher  
County Hall, Dorchester, DT1 1XJ  
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Date of Publication:  
Tuesday, 15 May 2018

## 1. **Apologies for Absence**

To receive any apologies for absence.

## 2. **Code of Conduct**

Councillors are required to comply with the requirements of the Localism Act 2011 regarding disclosable pecuniary interests.

- Check if there is an item of business on this agenda in which the member or other relevant person has a disclosable pecuniary interest.
- Check that the interest has been notified to the Monitoring Officer (in writing) and entered in the Register (if not this must be done on the form available from the clerk within 28 days).
- Disclose the interest at the meeting (in accordance with the County Council's Code of Conduct) and in the absence of a dispensation to speak and/or vote, withdraw from any consideration of the item.

The Register of Interests is available on Dorsetforyou.com and the list of disclosable pecuniary interests is set out on the reverse of the form.

## 3. **Minutes**

3 - 8

To confirm and sign the minutes of the meeting held on 2 May 2018.

## 4. **Public Participation**

## 5. **Cabinet Forward Plan**

9 - 16

To receive the Cabinet Forward Plan.

## 6. **Dorset Equality Scheme 2018-19**

17 - 38

To consider a report by the Cabinet Member for Workforce.

## 7. **Draft Annual Governance Statement**

39 - 66

To consider a joint report by the Leader of the Council and the Cabinet Member for Community and Resources.

## 8. **Panels and Boards**

To receive the minutes of the following meetings:

### a) **Tricuro Executive Shareholder Group - 22 March 2018**

67 - 72

## 10. **Questions from County Councillors**

To answer any questions received in writing by the Chief Executive by not later than 10.00am on Friday 18 May 2018.



### Cabinet

Minutes of a meeting held at County Hall, Colliton Park, Dorchester, Dorset, DT1 1XJ on Wednesday, 2 May 2018.

#### Present:

Rebecca Knox	Leader of the Council
Jill Haynes	Deputy Leader and Cabinet Member for Health and Care
Steve Butler	Cabinet Member for Safeguarding
Deborah Croney	Cabinet Member for Economy, Education, Learning and Skills
Tony Ferrari	Cabinet Member for Community and Resources
Daryl Turner	Cabinet Member for Natural and Built Environment
Peter Wharf	Cabinet Member for Workforce

#### Members Attending:

Jon Andrews, County Councillor for Sherborne Rural  
 Cherry Brooks, County Councillor for South Purbeck  
 Ray Bryan, County Councillor for Moors  
 Hilary Cox, as Chairman of the County Council and County Councillor for Winterborne  
 Nick Ireland, County Councillor for Linden Lea  
 Andrew Parry, County Councillor for Ferndown

#### Officers Attending:

Debbie Ward (Chief Executive), Richard Bates (Chief Financial Officer), Grace Evans (Legal Services Manager), Mike Harries (Corporate Director), Nick Jarman (Interim Director for Children's Services) and Lee Gallagher (Democratic Services Manager).

- (Notes:(1) In accordance with Rule 16(b) of the Overview and Scrutiny Procedure Rules the decisions set out in these minutes will come into force and may then be implemented on the expiry of five working days after the publication date.  
 Publication Date: **Tuesday, 8 May 2018.**
- (2) These minutes have been prepared by officers as a record of the meeting and of any decisions reached. They are to be considered and confirmed at the next meeting of the Cabinet to be held on **Wednesday, 23 May 2018.**)

#### **Apologies for Absence**

47 An apology was received from Jonathan Mair (Service Director – Organisational Development (Monitoring Officer)). Grace Evans (Legal Services Manager) attended the meeting for Jonathan Mair.

#### **Code of Conduct**

48 There were no declarations by members of disclosable pecuniary interests under the Code of Conduct.

#### **Minutes**

49 The minutes of the meeting held on 4 April 2018 were confirmed and signed.

#### **Public Participation**

##### 50 Public Speaking

There were no public questions received at the meeting in accordance with Standing Order 21(1).

There were no public statements received at the meeting in accordance with Standing

Order 21(2).

### Petitions

There were no petitions received at the meeting in accordance with the County Council's Petition Scheme.

### **Cabinet Forward Plan**

- 51 The Cabinet considered the draft Forward Plan, which identified key decisions to be taken by the Cabinet on or after the next meeting. Following withdrawal of an item from the agenda relating to the Alternative Provision Strategy, it was noted that the report would not be reported to the Cabinet for decision at this stage.

Members were informed that there was a need to make sure that the Forward Plan was used for business-critical issues and decisions which were statutorily needed by the Cabinet. This focus was strengthened by the need to spend time taking the Council forward as part of Local Government Reorganisation into the new Dorset Council. It was further noted that consideration would be given to decisions needed by the Cabinet and those required by the new Shadow Executive, and a report would be considered by the Organisational Transformation Board on 15 May 2018.

### **Noted**

### **Closure of Maintained Nursery at Somerford Primary School**

- 52 The Cabinet considered a report by the Cabinet Member for Economy, Education, Learning and Skills on the closure of Goslings Nursery at the Somerford Primary School due to the level of use and sustainability, and reduction in age range at the School from 3-11 years to 4-11 years. The proposal followed full statutory consultation in accordance with the DFE Guidance on prescribed alterations to a maintained school – April 2016.

It was further explained that the nursery was undersubscribed at 18 users when the site required over 30 to be sustainable and there was a downward trajectory for the number of users. In addition, there was no lunch provision and another locally run nursery was available and could expand as required. It was therefore necessary to make changes as the school was currently subsidising the nursery with funding that should be directed towards the national curriculum.

Local member engagement had taken place with Cllr David Jones since February 2018, although this had not been expressly identified on the cover of the Cabinet member's report.

### **Resolved**

1. That the closure of the Local Authority Maintained nursery unit at the Somerford Primary School be agreed.
2. That the reduction in the aged range of the Somerford Primary School from 3-11 to 4-11 provision be agreed.

### **Reasons for Decisions**

1. An appropriately constituted consultation had taken place under the Department for Education - 'Making Prescribed Alterations to maintained schools' – April 2016.
2. An assessment of sufficiency had determined that there were sufficient places in the area.
3. The Local Authority was satisfied that the provision as constituted was not viable financially.

### **Goods and Passenger Carrying Vehicles under an Operator's Licence Policy**

53 The Cabinet considered a report by the Cabinet Member for Natural and Built Environment in relation to the leadership approach to the management of transport through an Operator's Licence Policy for organisations that operated goods and passenger vehicles. This would ensure appropriately documented instructions, policies and procedures to meet the Council's Operator Licence statutory undertakings.

Cllr Turner also suggested that an additional recommendation be added to the report to read *'That delegated authority be granted to the Service Director for Highways and Emergency Planning, after consultation with the Cabinet Member for Natural and Built Environment, to make any minor changes to the policy as required'*. Any minor changes that included a financial impact would also be shared with the Cabinet Member for Community and Resources as necessary.

#### **Resolved**

1. That the Operator's Licence policy (attached to the Cabinet Member's report) that will provide a clear leadership approach to transport operations as recommended by Freight Transport Association, the Traffic Commissioners Office and Driver and Vehicle Standards Agency (DVSA), be approved.
2. That delegated authority be granted to the Service Director for Highways, after consultation with the Cabinet Member for Natural and Built Environment, to make any minor changes to the policy as required.

#### **Reason for Decision**

To support key corporate outcomes 'Safe', 'Prosperous', 'Independent' and 'Healthy'.

### **Response to (MHCLG) Consultation on proposed revisions to the National Planning Policy Framework and Supporting Housing Delivery through Developer Contributions**

54 The Cabinet was informed that the item was withdrawn from the agenda and that a briefing note would be sent to all councillors outside of the meeting. A suggestion was made that there needed to be appropriate coordination between Dorset councils.

#### **Resolved**

1. That the report be withdrawn from the agenda.
2. That a briefing note would be circulated to all councillors outside of the meeting to explain how the matter would be dealt with.
3. That delegated authority be granted to the Service Director – Economy, Natural and Built Environment, after consultation with the Cabinet Member for Natural and Built Environment, to agree the final submission.

### **Dorset's Growth Deal: Transport Scheme Funding Update**

55 The Cabinet considered a report by the Cabinet Member for Natural and Built Environment on the Dorset Growth Deal programme for transport scheme funding to deliver jobs and homes along the A338 and B3073 corridor, which included contributions to the improvement of Hurn roundabout and Blackwater junction improvements as part of the programme. The report addressed the need for prioritisation of improvement of Parley Cross and Blackwater junctions as an important part in the efficient operation of the transport corridor, economic growth and housing delivery. Further information on the projects in the programme were circulated prior to the meeting and were made available online.

The Cabinet was informed that the Bournemouth International Growth (BIG) Programme Steering Group supported the proposal, and that in addition to the Council's commitment to move funds, the Local Enterprise Partnership was committed to move funds to switch the priority of the projects. Cllr Butler, as a local member, explained that the improvements to the Parley Cross junction would fit well with the East Dorset Local Plan and housing development in the locality.

As part of a master plan, there would be coordinated arrangements in place to address the implications on traffic and congestion throughout the periods of the works, and that works would be timed appropriately to not coincide with busy periods such as the summer holiday period. However, there was still the possibility of multiple works being undertaken by other organisations although efforts would be made to include these in the coordinated arrangements.

It was suggested that a communications and engagement plan would be required for local members when the works were underway, to which it was confirmed that a plan was being developed and would be in place in addition to ongoing engagement with representatives of other partners councils on the BIG Steering Group.

### **Resolved**

1. That an enhanced, reduced cost improvement scheme to the existing Hurn roundabout that avoids the needs for third party land be approved.
2. That the corporate funds from the delivery of the Hurn roundabout improvement be switched to delivery of a Parley Cross eastern link road and Parley Cross junction.
3. That commitment to corporate funds and to forward fund developer contributions for the improvement of Blackwater junction and A338 widening, subject to being repaid via agreement between the two new authorities, be reaffirmed.

### **Reasons for Decisions**

1. Funds would be used more effectively to improve more junctions along the B3073 corridor to give a wider network benefit to residents and businesses in the area. Delivery of cost effective transport infrastructure including road, cycle and walking links along this corridor would meet the corporate aims to encourage economic growth through the provision of housing and jobs, and enable safe, accessible, healthier communities.
2. To ensure current commitments are kept and future Dorset funding bids are supported by the LEP.

### **Panels and Boards**

56 The following minutes were received and recommendation considered:

#### **Dorset Waste Partnership Joint Committee - 20 March 2018**

56a **Noted**

#### **Dorset Health and Wellbeing Board - 28 March 2018**

56b **Noted**

#### **Executive Advisory Panel - Forward Together for Children's Services - 16 April 2018**

56c **Draft Alternative Provision Strategy**

In relation to the recommendation 13 in the minutes, it was reported that more work was required in relation to the Alternative Provision Strategy as there had been significant developments on provision outside of mainstream education. The recommendation in the minutes was therefore not considered at the meeting.

### **Proposed Consultation Proposal on setting up Social Emotional Mental Health and Complex Communication Needs Resource Provision**

With regard to a recommendation at minute 12 of the Executive Advisory Panel minutes, members considered the consultation arrangements following previous approval by the Cabinet on 4 April 2018 to commit to extra provision in this area.

### **Resolved**

That the minutes of the meeting be endorsed, and the recommendation approved.

*Recommendation 12 - Proposed Consultation Proposal on setting up Social*

Emotional Mental Health and Complex Communication Needs Resource Provision

**Recommended**

*That the Cabinet be asked to approve that a 'Statutory Process' 6-week consultation be undertaken in May-June 2018.*

Reason for Recommendation

*This was a statutory requirement for a Local Authority who wished to add SEN places to an existing provision.*

**Questions from County Councillors**

57 No questions were received from County Councillors.

Meeting Duration: 10.00 am - 10.25 am

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**Cabinet Forward Plan  
(Cabinet Meeting Date - 23 May 2018)**

**Explanatory note:** This work plan contains future items to be considered by the Cabinet. It will be published 28 days before the next meeting of the Cabinet.

This plan includes matters which the Leader has reason to believe will be the subject of a key decision to be taken by the Cabinet and items that are planned to be considered in a private part of the meeting. The plan shows the following details for key decisions:-

- (1) date on which decision will be made
- (2) matter for decision, whether in public or private (if private see the extract from the Local Government Act on the last page of this plan)
- (3) decision maker
- (4) consultees
- (5) means of consultation carried out
- (6) documents relied upon in making the decision

Any additional items added to the Forward Plan following publication of the Plan in accordance with section 5 of Part 2, 10 of Part 3, and Section 11 of Part 3 of The Local Authorities (Executive Arrangements) (Meetings and Access to information) (England) Regulations 2012 are detailed at the end of this document.

### Definition of Key Decisions

Key decisions are defined in the County Council's Constitution as decisions of the Cabinet which are likely to -

- (a) result in the County Council incurring expenditure which is, or the making of savings which are, significant having regard to the County Council's budget for the service or function to which the decision relates namely where the sum involved would exceed £500,000; or
- (b) to be significant in terms of its effects on communities living or working in an area comprising two or more electoral divisions in Dorset."

### Membership of the Cabinet

<a href="#">Rebecca Knox</a>	Leader of the Council
<a href="#">Jill Haynes</a>	Deputy Leader of the Council and Cabinet Member for Health and Care
<a href="#">Steve Butler</a>	Cabinet Member for Safeguarding
<a href="#">Deborah Croney</a>	Cabinet Member for Economy, Education, Learning and Skills
<a href="#">Tony Ferrari</a>	Cabinet Member for Community and Resources
<a href="#">Daryl Turner</a>	Cabinet Member for Natural and Built Environment
<a href="#">Peter Wharf</a>	Cabinet Member for Workforce

**How to request access to details of documents, or make representations regarding a particular item**

If you would like to request access to details of documents or to make representations about any matter in respect of which a decision is to be made, please contact the Democratic Services Manager, Corporate Resources Directorate, County Hall, Colliton Park, Dorchester, DT1 1XJ (Tel: (01305) 224191 or email: l.d.gallagher@dorsetcc.gov.uk).

Date of meeting (1)	Matter for Decision/ Consideration (2)	Decision Maker (3)	Consultees (4)	Means of Consultation (5)	Documents (6)	Lead Officer
23/05/18	Key Decision - No <b>Open</b> Draft Annual Governance Statement To consider the draft statutory Annual Governance Statement which was reviewed by the Audit & Governance Committee on 12 March 2018. The Statement will form part of the Council's accounts.	Cabinet  Leader of the Council (Rebecca Knox)	Audit and Governance Committee Corporate Leadership Team Risk & Resilience Group - Governance Sub Group	Committee Report 12/03/18	Annual Governance Statement Local Code of Corporate Governance Corporate Risk Register	Marc Eyre, Senior Assurance Manager (Governance, Risk and Special Projects)
23/05/18	Key Decision - Yes <b>Open</b> Approval of Dorset Equality Scheme 2018-19	Cabinet  Cabinet Member for Workforce (Peter Wharf)	Diversity Directorate Action Groups Staff Support Groups Forum for Equality & Diversity	Meetings	None	Susan Ward-Rice, Diversity & Inclusion Officer
13/06/18	Key Decision - Yes <b>Open</b> Dorset County Council - Section 106 Charging Protocol for Education Contributions	Cabinet  Cabinet Member for Economy, Education, Learning and Skills (Deborah Croney)	None			Ed Denham, School Admissions Manager

13/06/18	Key Decision - Yes <b>Open</b> Medium Term Financial Plan Update and Outturn for 2017/18	Cabinet  Cabinet Member for Community and Resources (Tony Ferrari)				Richard Bates, Chief Financial Officer
13/06/18	Key Decision - Yes <b>Open</b> Special Educational Needs Plan - Written Statement of Action	Cabinet  Cabinet Member for Economy, Education, Learning and Skills (Deborah Croney)	Board meetings (reps from Schools, Health, Officers, Councillors and DfE)	Board meetings	None	Rick Perry, Senior Manager for Change Management and Planning
13/06/18	Key Decision - Yes <b>Open</b> Quarterly Asset Management Report	Cabinet  Cabinet Member for Community and Resources (Tony Ferrari)	Environment & Economy, Children's Services, Adult & Community Services Chief Executive's Directorates.	All consultees submit contributions to the report.		Peter Scarlett, Estate and Assets Manager
27/06/18	Key Decision - Yes <b>Open</b> Complex Communication Needs and Social Emotional and Mental Health Specialist Provision	Cabinet  Cabinet Member for Economy, Education, Learning and Skills (Deborah Croney)	All schools, neighbouring local authorities, all town and parish councils, all Members and parents and carers.	Published notices in the newspaper media E-mail to all district, town and parishes E-mail to all Members and schools Information on DCC Admissions website	None	Ed Denham, School Admissions Manager

18/07/18	Key Decision - Yes <b>Open</b> Approval of Youth Justice Plan 2018-19	Cabinet  Cabinet Member for Safeguarding (Steve Butler)	Dorset Combined Youth Offending Service and its statutory partners Dorset County Council Borough of Poole Bournemouth Borough Council NHS Dorset Clinical Commissioning Group Dorset Healthcare Office of the Police and Crime Commissioner Dorset Police National Probation Service, Dorset	Partners will be consulted through their representation on the YOS Partnership Board and local authority approval processes. Team members will be consulted through team meetings. The views of service users will be considered in these forums.	None	David Webb, Service Manager - Dorset Combined Youth Offending Service
18/07/18	Key Decision - Yes <b>Open</b> Variation to Dorset Highways Policy to expand delivery options for works to amend the existing highway required to facilitate new development (Ref: PoIDH50003)	Cabinet  Cabinet Member for Natural and Built Environment (Daryl Turner)	Developers Statutory Utilities Local Planning Authorities Blue Light Services	Written consultation	S278 Highways Act (1980) Adopted Highways Policy (PoIDH50003) Dorset Highway Works Term Services Contract	Neil Turner, Highway Development Team Leader
18/07/18	Key Decision - Yes <b>Open</b> Home to School Transport and Post 16 Transport Assistance Policy 2019-20	Cabinet  Cabinet Member for Economy, Education, Learning and Skills (Deborah Croney)	All schools, neighbouring local authorities, all town and parish councils, all Members, parents and carers.	E-mails to stakeholders; all district/town/parishes; Members; all schools Information on DCC Admissions Website	Home to School Transport Assistance Eligibility Policy for Children and Young People attending School 2019-20 Dorset Post 16 Transport Support Policy 2019-20	Ed Denham, School Admissions Manager

26/09/18	Key Decision - Yes <b>Open</b> Quarterly Asset Management Report	Cabinet  Cabinet Member for Community and Resources (Tony Ferrari)	Environment & Economy, Children's Services, Adult & Community Services Chief Executive's Directorates.	All consultees submit contributions to the report.		Peter Scarlett, Estate and Assets Manager
17/10/18	Key Decision - Yes <b>Open</b> Medium Term Financial Plan Update	Cabinet  Cabinet Member for Community and Resources (Tony Ferrari)				Richard Bates, Chief Financial Officer
17/10/18	Key Decision - Yes <b>Open</b> Bridport Care Village Appointment of development partner and approval of the final development model after completion of a procurement exercise.	Cabinet  Deputy Leader and Cabinet Member for Health and Care (Jill Haynes)			Cabinet Report Appendix – Detailed Business Case	Adam Fitzgerald, Service Development Officer
To be scheduled	Key Decision - Yes <b>Open</b> Update on progress made to take the Purbeck Memorandum of Understanding	Cabinet  Deputy Leader and Cabinet Member for Health and Care (Jill Haynes)			Cabinet Report	Helen Coombes, Transformation Programme Lead for the Adult and Community Forward Together Programme

To be scheduled	Key Decision - Yes <b>Open</b> Approval to sign Memoranda of Understanding for a number of Locality Areas committing partners to work together to jointly develop plans to re-provision and enhance Health, Social Care and Housing services in localities across Dorset	Cabinet			Cabinet Report MOU Documents	
To be scheduled	Key Decision - Yes <b>Open</b> Health and Wellbeing Board Update	Cabinet  Leader of the Council (Rebecca Knox)	-	-	None	David Phillips, Director of Public Health, Bournemouth, Dorset and Poole

### **Private Meetings**

The following paragraphs define the reasons why the public may be excluded from meetings whenever it is likely in view of the nature of the business to be transacted or the nature of the proceedings that exempt information would be disclosed and the public interest in withholding the information outweighs the public interest in disclosing the information to the public. Each item in the plan above marked as 'private' will refer to one of the following paragraphs.

1. Information relating to any individual.
2. Information which is likely to reveal the identity of an individual.
3. Information relating to the financial or business affairs of any particular person (including the authority holding that information).
4. Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.
5. Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
6. Information which reveals that the authority proposes:-
  - (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or
  - (b) to make an order or direction under any enactment.
7. Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

**Dorset County Council**

**Business not included in the Cabinet Forward Plan**

<b>Is this item a Key Decision</b>	<b>Date of meeting of the Cabinet</b>	<b>Matter for Decision/Consideration</b>	<b>Agreement to Exception, Urgency or Private Item</b>	<b>Reason(s) why the item was not included</b>
		NONE		

The above notice provides information required by The Local Authorities (Executive Arrangements) (Meetings and Access to information) (England) Regulations 2012 in respect of matters considered by the Cabinet which were not included in the published Forward Plan.



# Cabinet

## Dorset County Council



Date of Meeting	23 May 2018
<p><u>Cabinet Member(s)</u>                  Peter Wharf – Cabinet Member for Workforce  <u>Member Champions</u>                  Pauline Batstone – County Councillor for Blackmore Vale                  Kate Wheller – County Councillor for Portland Harbour  <u>Lead Director(s)</u>                  Mike Harries – Corporate Director for Environment and Economy</p>	
<b>Subject of Report</b>	<b>Dorset Equality Scheme 2018-19</b>
Executive Summary	<p>This report presents the Dorset Equality Scheme for 2018-19. It sets out how the County Council will meet its legal duties under Section 149 of the Equality Act 2010 and how we will promote diversity, equality and inclusion as service providers and employers. Equality objectives are required to be published by local authorities at a minimum of four yearly intervals, however, with the Local Government Re-organisation and the formation of the two new unitary councils, this scheme covers just one year, and the new Dorset Council will need to establish an Equality Scheme and delivery plan for April 2019. However, the adoption of the Dorset Equality Scheme will ensure compliance with the Equality Act 2010.</p> <p>The Public Sector Equality Duty (Section 149) sets both general and specific duties to which public bodies are legally bound. The general duty requires the council to have 'due regard' to the need to</p> <ul style="list-style-type: none"> <li>• Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act;</li> <li>• Advance equality of opportunity between people who share a protected characteristic and people who do not share it</li> <li>• Foster good relations between people who are share and people who do not share it.</li> </ul> <p>In addition, the General Equality Duty is supported by specific duties, which require public bodies to:</p> <ul style="list-style-type: none"> <li>• Publish information to show their compliance with the Equality Duty, the information published must include information relating to employees who share protected characteristics.</li> </ul>

	<ul style="list-style-type: none"> <li>• Prepare and publish one or more equality objectives, every four years to demonstrate how the council is meeting the aims of the general equality duty.</li> </ul> <p>The Dorset Equality Scheme 2018-19 (detailed in Appendix 1) proposes six equality objectives focussing on the Council's workforce and the services the Council provides. The objectives have been developed with the support of the Diversity &amp; Inclusion Members Group and feedback from the Directorate Diversity Action Groups, Staff Support Groups and the Forum for Equality and Diversity (FED) which represents Dorset's diverse communities.</p> <p>The equality objectives identified in the Dorset Equality Scheme will be monitored on a regular basis by the Corporate Inequalities Group and the Forum for Equality and Diversity. Performance against the delivery of the objectives will also be formally reported to the Cabinet every six months.</p> <p>It is important to note that these equality objectives do not cover all the work that is being carried out by the Council with the aim of improving diversity, inclusion and equality in Dorset.</p> <p>It is hoped that this scheme will provide a useful basis for the new Dorset Council when developing its own equality scheme.</p>
<p>Impact Assessment:</p>	<p>Equalities Impact Assessment: Please see Appendix 2.</p>
	<p>Use of Evidence: The Dorset Equality Scheme draws from a wide range of evidence including:</p> <ul style="list-style-type: none"> <li>• Diversity &amp; Inclusion Review Report - November 2017</li> <li>• Dorset Equality Scheme 2013-2016</li> <li>• State of Dorset 2018</li> <li>• Census 2011 data information available from Dorset Statistics (profiles of Dorset's communities - age, race, ethnicity, sex and disability)</li> </ul>
	<p>Budget:</p> <p>It is expected that the council's equality objectives will be delivered within the existing budgets and therefore do not expect any additional financial implications for the council.</p>
	<p>Risk Assessment: Having considered the risks associated with this decision using the County Council's approved risk management methodology, the level of risk has been identified as:</p> <p>Current Risk: MEDIUM Residual risk: MEDIUM</p> <p>There is a risk that if Dorset County Council does not publish an Equality Scheme, we will fail to comply with the Public Sector Equality Duties under the Equality Act 2010.</p>

## Dorset Equality Scheme

	Other Implications: None.
Recommendation	It is recommended that the Cabinet:  Approve the Dorset Equality Scheme at Appendix 1, ready for promotion and publication on Dorset For You.
Reason for Recommendation	Adoption of the Dorset Equality Scheme 2018-19 by Dorset County Council will: <ul style="list-style-type: none"><li>• ensure compliance with the Public Sector Equality Duties as specified by the Equality Act 2010; and</li><li>• provide a measurable and accountable framework for the County Council's work to promote diversity, inclusion and equality, both as service providers and employers.</li></ul>
Appendices	Appendix 1: Dorset Equality Scheme 2018-19 Action Plan  Appendix 2: Equality Impact Assessment
Background Papers	None
Officer Contact	Name: Susan Ward-Rice Tel: 01305 224368 Email: <a href="mailto:susan.ward-rice@dorsetcc.gov.uk">susan.ward-rice@dorsetcc.gov.uk</a>

**Mike Harries**  
**Corporate Director, Environment and the Economy**  
May 2018

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## **Introduction**

Dorset County Council is committed to the principles of diversity, inclusion and equality<sup>1</sup> in both employment and the delivery of services. This means making our services accessible for all, treating people fairly and providing a fully inclusive working environment.

The Dorset Equality Scheme aims to embed the principles of diversity, inclusion and equality in everything that Dorset County Council does. We do this in the spirit of our Corporate Plan: Working Together for a Strong and Successful Dorset and its principles of fairness, openness, respect, effectiveness and innovation - seeking to improve the lives of both our workforce and the people of Dorset by ensuring they are Safe, Healthy, Independent and Prosperous.

The Dorset Equality Scheme details the key equality objectives for 2018-19, it also demonstrates the work that Dorset County Council is doing to meet the Public Sector Equality Duty.

## **Overview - Equality Act 2010**

The Equality Act 2010 replaced all existing equality legislation. The act sets out the different ways in which it is unlawful to treat someone, such as direct and indirect discrimination, harassment, victimisation and failing to make a reasonable adjustment for a disabled person, the act prohibits unfair treatment in the workplace and when providing goods, facilities and services. The act also protects people from being treated less favourably because of certain characteristics. These are known as 'protected characteristics'<sup>2</sup>.

In addition, Section 149 (Public Sector Equality Duty) of the Equality Act sets both general and specific duties to which public bodies are legally bound. The General Duty requires the council to have 'due regard' to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited under the Act
- Advance equality of opportunity between people who share a protected characteristic and people who do not share it

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<sup>1</sup> Diversity is about recognising, respecting and valuing a wide set of people's differences and understanding that the opportunities we get are impacted by characteristics beyond those by legislation.

Inclusion means removing barriers and taking steps to create equality, harness diversity produce safe, welcoming communities and cultures  
Equality means people being treated fairly and with respect.

<sup>2</sup> Age, Disability, Race, Sex, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Religion or Belief, Sexual orientation

Appendix 1  
Dorset County Council – Dorset Equality Scheme 2018-19

- Foster good relations between people who share a protected characteristic and people who do not share it

In addition, the General Equality Duties are supported by two specific duties:

- Publish information to evidence their compliance with the general duties
- Prepare and publish one or more equality objectives, every four years to demonstrate how the council is meeting the aims of the general equality duty.

The Dorset Equality Scheme sets out Dorset County Council's Equality Objectives, which have developed with the support of:

- Diversity & Inclusion Members Group

and feedback from:

- Directorate Diversity Action Groups
- Staff Support Groups
- Forum for Equality & Diversity (FED)
- Unions

The Equality Objectives identified aim to champion diversity, inclusion and equality within Dorset County Council and with partners across wider Dorset. The outcomes from the objectives will be monitored on a regular basis by the Diversity & Inclusion Members Group, the Corporate Inequalities Group and the Forum for Equality and Diversity. Performance against the delivery of the Objectives will also be formally reported to Cabinet every six months.

It is important to note that these equality objectives do not cover all the work that is being carried out by the Council with the aim of improving diversity, inclusion and equality in Dorset.

Further information about equality and diversity in Dorset can be found { HYPERLINK  
"https://www.dorsetforyou.gov.uk/equalityanddiversity" }

**Dorset Equality Scheme - Equality Objectives**

Equality Objective (EO)		Proposed actions	Lead	Target Date	Success Indicators
Page 28	<b>EO1</b> <b>To ensure that good quality Equality Impact Assessments (EqIAs) are conducted on any changes of policy, project, strategy and service.</b>	<p>Review the EqIA system and procedures to strengthen the quality assurance of EqIAs by:</p> <ul style="list-style-type: none"> <li>• Promoting the EqIA process and online training</li> <li>• Developing a library of example EqIAs</li> <li>• Ensuring that all EqIAs are reviewed and signed off by relevant Directorate Diversity Action Groups (DDAGs)</li> <li>• Monitoring cumulative impacts on protected characteristics</li> <li>• Monitoring review dates</li> <li>• Publishing EqIAs on Dorset For You</li> </ul>	D&I Officer & DDAG leads	September 2018	<p>Regular monitoring of EqIAs by the Inequalities Group including the monitoring cumulative impacts.</p> <p>Increase in the number of people completing online EqIA training.</p> <p>EqIAs are available on D4U and accessible in other formats when required.</p>
	<b>EO2</b> <b>To provide fair pay to council employees</b>	Ensure that the Gender Pay Gap data is collected annually and submitted to central government.	HR	March 2019	Publishing gender pay data in accordance with central government requirements.
	<b>EO3</b> <b>To develop and support a diverse workforce.</b>	<p>Collate and publish workforce equality monitoring data on a quarterly basis</p> <p>Analyse data to develop appropriate improvement plans</p> <p>Use the results of the Stonewall Workplace Equality Index to develop and implement an improvement plan.</p> <p>Provide support to the Staff Support Leads in their roles of facilitating staff support groups.</p>	<p>HR</p> <p>D&amp;I Officer</p> <p>D&amp;I Officer, HR, DDAG Leads</p> <p>D&amp;I Officer</p>	<p>On-going</p> <p>July 2018</p> <p>On-going</p>	<p>To be legally compliant with the Equality Act.</p> <p>Improve the overall score results in the Stonewall Workplace Equality Index for 2018-19.</p> <p>Staff support groups meet regularly.</p>

Appendix 1  
Dorset County Council – Dorset Equality Scheme 2018-19

Equality Objective (EO)		Proposed actions	Lead	Target Date	Success Indicators
		Promoting and facilitating events and initiatives which promote diversity, inclusion and wellbeing.	D&I Officer, Staff Support Groups, HR, Health & Wellbeing Officer	On-going	Appropriate measures to evaluate events e.g. feedback, numbers.
Page 24	<b>EO4 To ensure that appropriate Diversity &amp; Inclusion (D&amp;I) training is completed by staff and elected members.</b>	Report mandatory training uptake to Corporate Working Group	D&I Officer, Learning & OD	July 2018	Staff will be aware of their responsibilities regarding their equality duties.  Elected members will be aware of their responsibilities regarding their equality duties.
		Provide appropriate D&I training to Directorate Diversity Action Groups	D&I Officer, Learning & OD	June 2018	
		Ensure that on-line modules are up to date with relevant links.	HR, D&I Officer	June 2018	
		Create regular opportunities to engage with elected members by providing training and briefings on Diversity & Inclusion issues.	D&I Officer, Democratic Services		
<b>EO5</b>	<b>Continue to strengthen our relationship with Dorset communities.</b>	Work collaboratively with partnerships (e.g. Forum for Equality & Diversity (FED), Gypsy & Traveller Liaison Group, Prejudice Free Dorset, Anti-Slavery Partnership) and other associated partnership projects.  Promote and support key diversity events held across Dorset.	D&I Officer, Community Safety Team Member Champion for Diversity	On-going  On-going	Reporting to the Inequalities Group on partnership working and joint initiatives.  Appropriate measures to evaluate events e.g. feedback, numbers.
<b>EO6</b>	<b>Building Equality and Diversity into the commissioning process</b>	Developing guidance to ensure that Equality, Diversity & Inclusion are adequately and appropriately considered during the commissioning process.	D&I Officer Commissioning	March 2019	Guidance notes implemented.





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<b>Equality Impact Assessment</b>			
<b>Title</b>	Dorset Equality Scheme 2018-19		
<b>Release</b>	Date: 13 April 2018	<b>Version No.</b>	1
<b>Revision History</b>	<i>To provide an audit trail please provide previous version dates and numbers</i> No previous versions		
<b>Type of strategy, policy, project or service</b>			
<b>Existing</b>	Update		
<b>New or proposed</b>			
<b>Changing, update or revision</b>			
<b>Other</b>			
<b>Is this an internal or external Equality Impact Assessment (EqIA)</b>		Internal/External	
<b>Officers involved in the screening</b>		Susan Ward-Rice (Diversity & Inclusion Officer) Zoe Schofield (Business Improvement Manager)	

<b>This report was created by</b>	
<b>Name</b>	Susan Ward-Rice
<b>Email address</b>	susan.ward-rice@dorsetcc.gov.uk
<b>Directorate or Service</b>	Chief Executives
<b>Version No</b>	1

<b>Aims</b>
<b>What are the aims of your strategy, policy, project or service?</b>
<p>The Dorset Equality Scheme is the corporate approach of Dorset County Council towards continuing compliance with Section 149 (Public Sector Equality Duty), as set out in the Equality Act 2010 which includes the requirement of local authorities to publish equality objectives.</p> <p>The draft Dorset Equality Scheme builds upon the previous scheme of 2013-2016 and is an action plan detailing the key equality objectives that Dorset County Council has set.</p> <p>The action plan will run from April 2018 - March 2019, Equality Objectives are required to be published by local authorities at a minimum of four yearly intervals, however, with the Local Government Re-organisation and the formation of new</p>

council, this plan just covers one year, and the new council will need to consider an Equality Objectives Plan from 2019.

### **What is the background or context to the proposal?**

The Equality Act 2010 replaced all existing equality legislation. The act sets out the different ways in which it is unlawful to treat someone, such as direct and indirect discrimination, harassment, victimisation. The act prohibits unfair treatment in the workplace and when providing goods, facilities and services. The act also protects people from being treated less favourably because of certain characteristics, these are known as 'protected characteristics' which are:

- Age
- Disability
- Gender Reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race (including ethnicity, colour and nationality)
- Religion and/or belief
- Sex
- Sexual Orientation

In Dorset, other factors are considered important based on what we know about our communities and level of disadvantage are:

- People who are rurally isolated
- People on low incomes
- Lone parents
- Carers
- People with a military background and their families.

In addition, Section 149 (Public Sector Equality Duty) of the Equality Act sets both general and specific duties to which public bodies are legally bound. The General Duty requires the council to have 'due regard' to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited under the Act
- Advance equality of opportunity between people who share a protected characteristic and people who do not share it
- Foster good relations between people who share a protected characteristic and people who do not share it

In addition, the General Equality Duties are supported by two specific duties:

- Publish information to evidence their compliance with the general duties
- Prepare and publish one or more equality objectives, every four years to demonstrate how the council is meeting the aims of the general equality duty.

The equality objectives are intended to have a positive effect on how services are delivered. They aim to improve the way the Council understands service user needs and provide access to services, reflecting the concerns of people with protected characteristics. They will contribute to the development of a

culture within the Council that improves its interaction with employees, service users and other service providers from the perspective of protected groups. The work will be completed within existing resources.

By their very nature, the draft objectives and supporting actions are anticipated to have a positive impact on people with protected characteristics. However, part of the purpose of the consultation is to identify if there are any gaps in our objectives and related actions. In addition, it is not intended that there is an equal spread of actions for each protected characteristic, it is acknowledged that for some protected characteristics there are several draft objectives and specific actions which should help to reduce inequalities while for others there are not specific actions.

In addition, some of the equality objectives will have associated action plans to make them measurable and achievable. Progress of the Dorset Equality Scheme and associated action plans will be monitored on a regular basis by the Diversity & Inclusion Members Group, the Corporate Inequalities Group and the Forum of Equality & Diversity (FED). Performance against the delivery of the objectives will also be formally reported to Cabinet every six months.

It is important to note that these equality objectives do not cover all the work that is being carried out by the Council with the aim of improving diversity, inclusion and equality in Dorset.

## **Intelligence and Communications**

### **What data, information, evidence and research was used in this EqlA and how has it been used to inform the decision making process?**

- Diversity & Inclusion Review Report – November 2017
- Dorset Equality Scheme 2013-2016
- Existing Equality Impact Assessments
- Information from council documents such as the Corporate Plan
- Meetings with Diversity & Inclusion Members Group

### **What data do you already have about your service users, or the people your proposal will have an impact on?**

- Census data information available from Dorset Statistics (profiles of Dorset's communities – age, race and ethnicity, sex, disability)
- Workforce profile data 2017-18
- State of Dorset 2018
- Gender Pay Gap Report 2017
- Dorset County Council Stonewall Workplace Index Report 2018

### **What engagement or consultation has taken place as part of this EqlA?**

- Diversity & Inclusion Members Group – 11/04/18, 03/05/18
- A copy of the draft scheme circulated to the Staff Support Groups - 17/04/18
- A copy of the draft scheme circulated to Unions (Unison and GMB) for comments 20/04/18

<ul style="list-style-type: none"> <li>• A copy of the draft scheme circulated to Unite Union for comments - 25/04/18</li> <li>• A copy of the draft scheme circulated to the Chairs of the Directorate Diversity Action Groups 16/04/18</li> <li>• Presentation and discussion at Forum for Equality &amp; Diversity - 02/05/18</li> </ul>																			
<b>Is further information needed to help inform this proposal?</b>																			
No																			
<b>How will the outcome of consultation be fed back to those who you consulted with?</b>																			
A final copy of the Dorset Equality Scheme will be circulated to all.																			
<b>Assessment</b>																			
<b>Who does the service, strategy, policy, project or change impact?</b>																			
<p><i>If your strategy, policy, project or service contains options you may wish to consider providing an assessment for each option. Please cut and paste the template accordingly.</i></p> <p><b>For each protected characteristic please choose from the following options:</b>  <b>Positive Impact</b>  <b>Negative Impact</b>  <b>Neutral Impact</b>  <b>Unclear</b></p> <p><i>Please note in some cases more than one impact may apply – in this case please state all relevant options and explain in the 'Please provide details' box.</i></p>																			
<b>Age</b>	<i>Positive impact anticipated</i>																		
<b>What age bracket does this affect?</b>	All ages																		
<b>Please provide details</b>	<p>The age profile for Dorset County is as follows:</p> <table border="1"> <tr> <td><b>All Persons</b></td> <td>422,930</td> <td></td> </tr> <tr> <td><b>All Males</b></td> <td>206,440</td> <td>48.8%</td> </tr> <tr> <td><b>All Females</b></td> <td>216,500</td> <td>51.2%</td> </tr> <tr> <td><b>0-15 yrs</b></td> <td>67,370</td> <td>15.9%</td> </tr> <tr> <td><b>16-64 yrs</b></td> <td>235,860</td> <td>55.8%</td> </tr> <tr> <td><b>65+ yrs</b></td> <td>119,700</td> <td>28.3%</td> </tr> </table> <p><i>Source: Office for National Statistics</i></p> <p>Dorset has a much greater proportion (28%) of the population aged 65 and over, higher than England and Wales (18%). Over the period 2006 -2016, the number aged 65+ grew by 24,200 (an increase of 25%).</p>	<b>All Persons</b>	422,930		<b>All Males</b>	206,440	48.8%	<b>All Females</b>	216,500	51.2%	<b>0-15 yrs</b>	67,370	15.9%	<b>16-64 yrs</b>	235,860	55.8%	<b>65+ yrs</b>	119,700	28.3%
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<b>65+ yrs</b>	119,700	28.3%																	

	<p>However, the population of working age decreased by 6,400 in Dorset and the number of children fell by 1700.</p> <p>Some districts within the county including Christchurch have almost one in three residents aged 65 and over<sup>1</sup>.</p> <p>The workforce profile at Dorset County Council (DCC) for age is as follows:</p> <p>DCC - Workforce Age Profile 2016-17:</p> <table border="1" data-bbox="587 555 1385 936"> <thead> <tr> <th></th> <th>June 16</th> <th>Sep 16</th> <th>Dec 16</th> <th>Mar 17</th> </tr> </thead> <tbody> <tr> <td><b>Total employment count</b></td> <td>4332</td> <td>4068</td> <td>4044</td> <td>4066</td> </tr> <tr> <td><b>16-24</b></td> <td>208</td> <td>190</td> <td>193</td> <td>193</td> </tr> <tr> <td><b>25-39</b></td> <td>1030</td> <td>961</td> <td>973</td> <td>974</td> </tr> <tr> <td><b>40-49</b></td> <td>1129</td> <td>1066</td> <td>1048</td> <td>1041</td> </tr> <tr> <td><b>50-59</b></td> <td>1345</td> <td>1265</td> <td>1260</td> <td>1258</td> </tr> <tr> <td><b>60-64</b></td> <td>442</td> <td>420</td> <td>406</td> <td>433</td> </tr> <tr> <td><b>65+</b></td> <td>178</td> <td>166</td> <td>164</td> <td>167</td> </tr> </tbody> </table> <p>The State of Dorset 2018<sup>2</sup> suggests that an ageing population has an impact on the economy as more employees move into retirement which leads to a potential loss of skills from the workforce. Dorset County Council through adult learning aims to help people get back into work after a gap or to improve existing employment skills.</p> <p>In addition, to support the growing number of older people, the council and other organisations (including the NHS Dorset, community and voluntary organisations) provide advice and support around future care needs including support to carers.</p> <p>A positive impact has been identified, as the Dorset Equality Scheme sets out to meet Section 149 (Public Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.</p>		June 16	Sep 16	Dec 16	Mar 17	<b>Total employment count</b>	4332	4068	4044	4066	<b>16-24</b>	208	190	193	193	<b>25-39</b>	1030	961	973	974	<b>40-49</b>	1129	1066	1048	1041	<b>50-59</b>	1345	1265	1260	1258	<b>60-64</b>	442	420	406	433	<b>65+</b>	178	166	164	167
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<b>Disability</b>	<i>Positive impact anticipated</i>																																								
<b>Does this affect a specific disability group?</b>	No																																								

<sup>1</sup> Mid-year population estimates, 2016, ONS

<sup>2</sup> State of Dorset, 2018, Dorset County Council

<b>Please provide details</b>	<p>One in five of Dorset's population consider that they have a long-term health problem or disability<sup>3</sup>. In Weymouth and Portland this accounts for 22% of residents, compared to North Dorset with 18% This does include older non-working people, which suggests that known figures for disability may be under represented.</p> <p>In addition, the number of residents with a disability claiming either disability living allowance or attendance allowance in Dorset as a whole it is 6.7%, however, in certain areas this is higher (Weymouth 8.1%) and lower (Purbeck 6.1%).</p> <p>The workforce profile for Dorset County Council for disability is as follows:</p> <p>DCC - Workforce Disability Profile 2016-17:</p> <table border="1" data-bbox="587 853 1385 1155"> <thead> <tr> <th></th> <th>June 16</th> <th>Sep 16</th> <th>Dec 16</th> <th>Mar 17</th> </tr> </thead> <tbody> <tr> <td><b>Disabled</b></td> <td>145</td> <td>129</td> <td>125</td> <td>125</td> </tr> <tr> <td><b>Not Disabled</b></td> <td>3143</td> <td>2925</td> <td>2880</td> <td>2899</td> </tr> <tr> <td><b>Not Declared</b></td> <td>1044</td> <td>1014</td> <td>1039</td> <td>730</td> </tr> <tr> <td><b>Prefer not to say</b></td> <td></td> <td></td> <td></td> <td>312</td> </tr> </tbody> </table> <p>The Public Sector Equality Duty requires all local authorities to publish information which demonstrates they have paid due regard to the general equality duties in relation to its workforce, as such data including disability is collected. Collecting such data allows the council to consider how our activities as employers affect our staff with different protected characteristics. The Dorset Equality Scheme has a specific action to use the data collected to develop appropriate improvement plans.</p> <p>The Dorset Equality Scheme also has a specific action to provide support to the staff support groups, presently the staff support groups include the Disability Group, Carers Group, Dragon Users Group (Dyslexia &amp; Upper body mobility issues), Lesbian, Gay, Bisexual Transgender (LGBT) group and Christian Fellowship. Staff Support Groups are established and led by staff on a voluntary basis, it has been identified during the Diversity &amp; Inclusion Review (2017) that support is required to all groups to help with the administration</p>		June 16	Sep 16	Dec 16	Mar 17	<b>Disabled</b>	145	129	125	125	<b>Not Disabled</b>	3143	2925	2880	2899	<b>Not Declared</b>	1044	1014	1039	730	<b>Prefer not to say</b>				312
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<b>Prefer not to say</b>				312																						

<sup>3</sup> Census 2011, ONS



	<p>including promotion, intranet development and building membership. Regular meetings are now being developed with the Chairs of the Staff Support Groups and the Diversity &amp; Inclusion Officer to look at support and issues raised at staff support group meetings.</p> <p>In addition, the Chief Executive of the council sent a letter of support to all line managers of Chairs of Staff Support Groups to support them using work time to carry out group business.</p> <p>A positive impact has been identified, as the Dorset Equality Scheme sets to meet Section 149 (Public Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.</p>
<b>Gender Reassignment</b>	<i>Positive impact anticipated</i>
<b>Please provide details</b>	<p>A positive impact has been identified, as the Dorset Equality Scheme sets to meet Section 149 (Public Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.</p> <p>Over the last four years Dorset County Council has entered the Stonewall Workplace Index. The Index is a benchmarking exercise, carried out by Stonewall across the private and public sector which examines evidence from a variety of services (including Human Resources, IT and Procurement). The council submitted an entry for 2018 in September 2017 and the results came out in February 2018. In 2017, the council was ranked 359 out of 439 organisations and in 2018 the council ranked 360 out of 434 organisations. It should be noted, that it is not compulsory to join the index and as such not all local authorities enter. The average sector score is 77 and in 2018 DCC scored 30. The council scored well in policies and benefits and community engagement. However, the council scored poorly in allies and role models, monitoring, procurement and clients, customers and service users.</p> <p>The draft Dorset Equality Scheme has a specific action to use the results of the recent Stonewall Workplace Equality Index (2018) to develop and implement an action plan.</p>
<b>Pregnancy and maternity</b>	<i>Positive impact anticipated</i>
<b>Please provide details</b>	A positive impact has been identified, as the Dorset Equality Scheme sets to meet Section 149 (Public

	Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.																														
<b>Race and Ethnicity</b>	<i>Positive impact anticipated</i>																														
<b>Please provide details</b>	<p>Dorset has much lower levels (4.5%) of Black and Minority Ethnic (BME) residents than the country as a whole (19.5%). The highest proportion of Dorset's BME population are classified as 'White Other' who make up approximately 40% of Dorset's BME population.<sup>4</sup></p> <p>The profile of Dorset County Council ethnicity workforce profile is as follows:</p> <p>DCC - Workforce Ethnicity Profile 2016-17:</p> <table border="1"> <thead> <tr> <th></th> <th>June 16</th> <th>Sep 16</th> <th>Dec 16</th> <th>Mar 17</th> </tr> </thead> <tbody> <tr> <td><b>White British</b></td> <td>3332</td> <td>3097</td> <td>3046</td> <td>3069</td> </tr> <tr> <td><b>Other B&amp;ME</b></td> <td>107</td> <td>98</td> <td>97</td> <td>105</td> </tr> <tr> <td><b>B&amp;ME</b></td> <td>57</td> <td>51</td> <td>49</td> <td>47</td> </tr> <tr> <td><b>Not declared</b></td> <td>836</td> <td>822</td> <td>852</td> <td>485</td> </tr> <tr> <td><b>Prefer not to say</b></td> <td></td> <td></td> <td></td> <td>360</td> </tr> </tbody> </table> <p>A positive impact has been identified, as the Dorset Equality Scheme sets to meet Section 149 (Public Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.</p> <p>In addition, a specific action in the Dorset Equality Scheme includes working collaboratively with partnerships such as the Gypsy &amp; Traveller Liaison Group, Prejudice Free Dorset (hate crime/incident reporting) and Dorset Race Equality Council this will include initiatives and events such as Gypsy &amp; Traveller Awareness Day, Holocaust Memorial Day and Black History Month.</p>		June 16	Sep 16	Dec 16	Mar 17	<b>White British</b>	3332	3097	3046	3069	<b>Other B&amp;ME</b>	107	98	97	105	<b>B&amp;ME</b>	57	51	49	47	<b>Not declared</b>	836	822	852	485	<b>Prefer not to say</b>				360
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<b>Prefer not to say</b>				360																											
<b>Religion or belief</b>	<i>Positive impact anticipated</i>																														
<b>Please provide details</b>	65% of Dorset county's population identify themselves as Christian and 25% identify as having no religion. Just over 1% of the population identify with other religions e.g. Islam, Buddhism, Hinduism, Judaism and Sikhism and these tend to be concentrated in Dorset towns; Weymouth has just over 300 residents who identify with																														

<sup>4</sup> Census 2011, ONS

	<p>Islam. There are also concentrations around military establishments such as Blandford Camp where the Gurkhas and their families live who are predominantly Hindu<sup>5</sup>.</p> <p>A positive impact has been identified, as the Dorset Equality Scheme sets to meet Section 149 (Public Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.</p>
<b>Sexual orientation</b>	<i>Positive impact anticipated</i>
<b>Please provide details</b>	<p>A positive impact has been identified, as the Dorset Equality Scheme sets to meet Section 149 (Public Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.</p> <p>As stated under Gender Reassignment; Dorset County Council has for the last four years entered the Stonewall Workplace Index, in 2018 the council ranked 360 out of 434 organisations. The Dorset Equality Scheme includes a specific action for developing and implementing an action plan using the results of the Workplace Equality Index.</p>
<b>Sex</b>	<i>Positive impact anticipated</i>
<b>Please provide details</b>	<p>The age profile detailed in Age Impact of this document specifies the number of males and females in the County.</p> <p>A positive impact has been identified, as the Dorset Equality Scheme sets to meet Section 149 (Public Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.</p> <p>In addition, all employers with a workforce of 250 or more must publish information on their gender pay gap every year, starting in 2018, Dorset County Council's gender pay gap report is available on Dorset for You.</p>
<b>Marriage or civil partnership</b>	<i>Positive impact anticipated</i>
<b>Please provide details</b>	A positive impact has been identified, however, this is only in respect of the need to eliminate unlawful discrimination at work because of being married or in a civil partnership.

<sup>5</sup> Census 2011, ONS

<p><b>Other Socially Excluded Groups</b> For example: Carers, rurally isolated, low income, economically disadvantaged, single parents, armed forces.</p>	<p><i>Positive impact anticipated</i></p>
<p><b>Please provide details</b></p>	<p>Deprivation has a significant impact on health and wellbeing, there are twelve areas (out of a total of 249) in Dorset within the top 20% most deprived nationally for multiple deprivation, this is down from 13 in 2010<sup>6</sup>. Nine of these areas are in Weymouth and Portland, two are in Christchurch and one in West Dorset (Skilling, Bridport).</p> <p>In Dorset, about 23,000 people aged 16-64, plus 3,700 children live in 18,200 workless households.</p> <p>Dorset's economic strategy recognises the links between economic prosperity and health and wellbeing and the council in partnership with other organisations aims to help create the right conditions for economic and jobs growth. In addition, early intervention programmes such as the Troubled Families Programme in deprived areas are intended to reduce problems from escalating.</p> <p>A positive impact has been identified, as the Dorset Equality Scheme sets to meet Section 149 (Public Sector Equality Duty) of the Equality Act and give due regard to the three equality aims.</p>

<b>Action Plan</b>			
<b>What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts?</b>			
<b>Objective/Outcome</b>	<b>Action to be taken</b>	<b>Lead Officer</b>	<b>Deadline</b>
Draft Dorset Equality Scheme shared with the Forum for Equality & Diversity.	Forum for Equality & Diversity meeting to take place on 2 May 2018	Susan Ward-Rice	2 May 2018
Dorset Equality Scheme to be adopted by Dorset County Council.	Cabinet Report to be taken to Cabinet on 23 May 2018.	Susan Ward-Rice	08 May 2018 deadline for reports

<sup>6</sup> English Indices of Deprivation (2015), DCLG

Appendix 2

Dorset Equality Scheme to be shared with the Corporate Equality Working Group	Corporate Equality Working Group meeting takes place on 11 July 2018	Susan Ward-Rice	11 July 2018
A cabinet report update on the progress of the Dorset Equality Scheme	Cabinet Report to be taken to Cabinet in October 2018	Susan Ward-Rice	September 2018
Review of the Dorset Equality Scheme and actions undertaken.	Cabinet Report to be taken to Cabinet. Review of action shared with Forum for Equality & Diversity.	Susan Ward-Rice	March 2018

<b>EqlA Signatories</b>		
<b>EqlA role</b>	<b>Name</b>	<b>Date</b>
<b>Lead Manager / Project Sponsor</b>		
<b>Directorate Chair on behalf of the Directorate Diversity Action Group</b>		

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# Cabinet

## Dorset County Council



Date of Meeting	23 May 2018
<p><u>Cabinet Member(s)</u> Leader of the Council and Cabinet Member for Community and Resources</p> <p><u>Lead Director(s)</u> Chief Executive and Chief Financial Officer</p>	
<b>Subject of Report</b>	<b>Draft Annual Governance Statement 2017/18</b>
Executive Summary	<p>The Accounts and Audit (England) Regulations 2015 require a body such as the County Council to “approve an annual governance statement, prepared in accordance with proper practices in relation to internal control.”</p> <p>The attached draft Annual Governance Statement (AGS) for 2017/18 sets out key features of the governance framework in place in the Authority and provides a review of its effectiveness. It has been prepared in line with the recommendations published by CIPFA and SOLACE, which were revised in 2016.</p> <p>In recognition of the greater flexibility provided by the revised framework, a different approach has been taken this year, with the aim of making the document more accessible, through the use of both evidence bases and brief case studies. The revised approach to the AGS was positively received by the Audit and Governance Committee on 12 March 2018, with some changes proposed which have been reflected in this latest draft.</p> <p>The intention is also to include an accompanying ‘public facing’ plain-english summary with the final AGS, which is currently in development.</p> <p>The “Review of Effectiveness” within the draft AGS is informed by the Council’s Local Code of Corporate Governance Compliance Assessment 2017/18, and in particular the eight elements on which the Council has identified areas for improvement. Similarly to the AGS itself, this has been refocussed to provide a more succinct document improving understanding and accessibility.</p> <p>The AGS also discusses those risks that are contained in the Councils Corporate Risk Register which are classified as ‘high’ and, as such,</p>

	<p>represent potential significant governance issues that the Council is currently facing and actively seeking to address.</p> <p>Cabinet can view both the full Compliance Assessment and Corporate Risk Register from the Intranet links noted in the Evidence section of this report.</p> <p>Under the 2015 regulations, the accounts are not approved by the Council (or the Committee to which the responsibility is delegated) until after the external audit has been carried out. At this stage this draft allows Cabinet an early view and an ability to inform the content.</p> <p>Final adoption of the AGS will take place, alongside the accounts, at the Audit and Governance Committee in July 2018. As the AGS has to reflect any significant issues that arise prior to its final approval, if necessary, subsequent amendments will be made to the draft document to reflect them.</p>
<p>Impact Assessment:</p>	<p><b>Equalities Impact Assessment:</b></p> <p>Giving appropriate consideration to equalities issues is a key aspect of good governance, but there are no equalities issues arising directly from this report.</p> <hr/> <p><b>Use of Evidence:</b></p> <p>Evidence to inform the governance compliance assessment and then to complete the Annual Governance Statement has been provided by senior officers across the organisation. It includes policies and procedures of the County Council, the Constitution, and reports and minutes of Committees.</p> <p>Members can view both <a href="#">the Local Code of Corporate Governance Compliance Assessment 2017/18</a> and the <a href="#">Corporate Risk Register</a> from the Council's internal Intranet.</p> <hr/> <p><b>Budget:</b></p> <p>There are no budget requirements arising directly from this report. The overall financial position of the County Council is one of the significant issues covered in the AGS. Addressing other issues identified in the compliance assessment or the AGS may have budgetary implications, which will be considered in the relevant action plans.</p> <hr/> <p><b>Risk Assessment:</b></p> <p>Having considered the risks associated with this decision using the County Council's approved risk management methodology, the level of risk has been identified as:</p> <p>Current Risk: HIGH Residual Risk: HIGH</p> <p>The AGS refers to risks on the Council's corporate risk register which have been assessed as being 'High'.</p>



	<p>Outcomes:</p> <p>Good governance and management of risk is essential in ensuring that the Council can deliver positive outcomes.</p>
	<p>Other Implications:</p> <p>The “Review of Effectiveness” within the draft AGS explains the significant governance issues facing the Council.</p>
Recommendation	<p>Cabinet is asked to:</p> <p>i) Agree the draft AGS for 2017/18 at appendix A, as approved in principle by the Audit &amp; Governance Committee on 12 March 2018, in advance of its presentation with the Annual Accounts.</p>
Reason for Recommendation	<p>Approval and publication of an AGS by the County Council is a statutory requirement and provides evidence that the County Council maintains high standards of governance and addresses significant shortcomings and risks.</p>
Appendices	<p>Appendix A: Draft AGS 2017/18</p>
Background Papers	<p>CIPFA / SOLACE publication: Delivering good governance in local government – framework</p> <p><a href="#">Minutes of Audit and Governance Committee 12 March 2018</a></p>
Officer Contact	<p>Name: Mark Taylor, Group Manager (Governance and Assurance)          Tel: 01305 224982          Email: <a href="mailto:m.taylor@dorsetcc.gov.uk">m.taylor@dorsetcc.gov.uk</a></p> <p>Name: Marc Eyre, Senior Assurance Manager (Governance, Risk and Special Projects)          Tel: 01305 224358          Email: <a href="mailto:m.eyre@dorsetcc.gov.uk">m.eyre@dorsetcc.gov.uk</a></p>

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Dorset County Council

# **DRAFT**

## **Annual Governance Statement 2017/18**





# Introduction

Dorset County Council is responsible for ensuring that its business is conducted in accordance with the law and appropriate standards, that public money is safeguarded and properly accounted for and that funding is used economically, efficiently and effectively. Dorset County Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised.

In discharging this overall responsibility Dorset County Council is responsible for putting in place suitable arrangements for the governance of its affairs, which facilitate the effective exercise of its functions and include arrangements for the management of risk.

Dorset County Council has approved and adopted a local code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE *Delivering Good Governance in Local Government* framework (2016). These include the additional requirements as recommended by CIPFA in March 2010. A report on the code and the latest assessment of compliance with it was published with the Audit and Governance Committee papers for 12<sup>th</sup> March 2018 or can be obtained from the County Council Offices, County Hall, Colliton Park, Dorchester, Dorset, DT1 1XJ.

This statement explains how Dorset County Council has complied with the code. It also meets the requirements of the Accounts and Audit Regulations (England) 2015 in relation to the consideration of the findings of a review of the system of internal control and approval and publication of an annual governance statement. This Local Code provides the evidence base for the Review of Effectiveness that supports this Governance Statement.

The governance framework comprises the systems and processes, and culture and values, by which the authority is directed and controlled, together with the activities through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to meet the targets in our policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of Dorset County Council's desired outcomes, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. This Governance Statement is therefore also informed by those risks identified as High in the Corporate Risk Register.

The governance framework has been in place at Dorset County Council for the year ended 31 March 2018 and up to the date of approval of the annual statement of accounts.

# Approval of the Annual Governance Statement 2017/18

We are satisfied that this statement provides a substantial level of assurance that good governance is in place in Dorset County Council and that appropriate arrangements are in place to address improvements identified in our review of compliance. Progress on these improvements and on addressing and mitigating the risks will be monitored through the year by senior officers and the Audit and Governance Committee.



Signed: .....

Date: .....

**Debbie Ward, Chief Executive**



Signed: .....

Date: .....

**Rebecca Knox, Leader of the Council**

# The Council's Governance Framework "Review of Effectiveness"



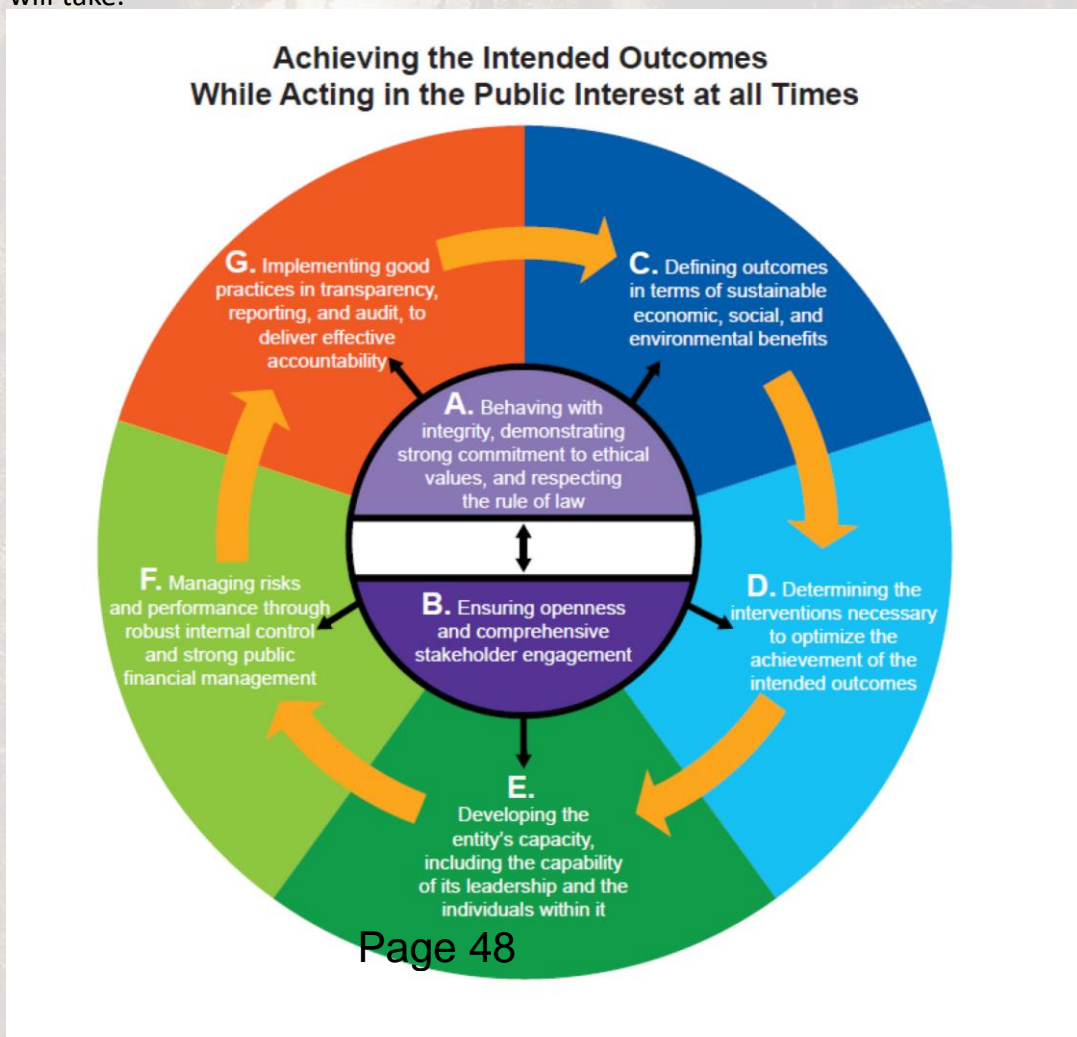
The Council has adopted a local code of corporate governance, as a means of demonstrating that a sound level of governance is operated. This local code acts as a means of assurance, but also a mechanism for achieving continuous improvement. This approach is consistent with the principles of the CIPFA/SOLACE *Delivering Good Governance in Local Government* framework. The Council's Local Code of Corporate Governance forms the main evidence base for this Review of Effectiveness section of the Annual Governance Statement.

Governance issues can be put into two groups:

- (i) elements of the governance framework for which the compliance assessment has identified that some improvement is necessary to provide full assurance;
- (ii) issues that the governance framework has identified and which require action to mitigate the exposure of the County Council.

During the review, there were no elements of the framework for which the judgement is that the County Council is non-compliant. There are however eight areas where it is recognised that further improvement can be made.

The following pages set out a summary of the key governance controls, mapped against the CIPFA/SOLACE agreed principles (see diagram). It is supported by case studies to help demonstrate where positive improvement action has already been taken, and a note of improvement actions that the Council will take.





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

Our **Constitution** establishes the roles and responsibilities for members of the executive (the Cabinet), Overview and Scrutiny, Audit and Governance and Regulatory Committees, together with officer functions. It includes details of delegation arrangements, codes of conduct and protocols for member/officer relations. The Constitution is kept under review to ensure that it continues to be fit for purpose, with any proposed changes being considered by the Audit and Governance Committee.

The Constitution also contains procedure rules, standing orders and financial regulations that define clearly how decisions are taken and where authority lies for decisions.

The statutory roles of Head of Paid Service, Monitoring Officer and Chief Financial Officer are described together with their respective roles and contributions to provide for robust assurance on governance and to ensure that expenditure is lawful and in line with approved budgets and procedures. The influence and oversight exerted by these posts is backed by the post-holders' membership of and attendance at the Corporate Leadership Team.

The Members' **Code of Conduct** advises an elected member (or voting co-opted member) what conduct is expected of them and whether their conduct constitutes a criminal offence.

A Code of Conduct also exists for staff which sets out the standards of conduct expected of all council employees and prevents employees from being in a situation where they may be vulnerable to an accusation of favouritism or bias or other improper motives, whether this is real or perceived.

We have adopted a **Behaviours Framework** which sets out five behaviours reflecting Dorset County Council's values, and that every member of staff, regardless of their role and grade should be able to demonstrate: Future Focus; Leadership; Integrity; Collaboration; and Responsibility.

### **Example : Gender Pay Gap**

*We believe strongly in equal pay for roles regardless of gender. Our gender pay gap, which shows the difference between the average earnings of men and women, is well below the average for public and private sector organisations.*

*The total overall gender pay level gap is just 1.26 per cent across the Council. The national average is 18.2 per cent.*

The Council operates under an Executive (**Cabinet**) model, which oversees the formulation of all major policies, strategies and plans. The Cabinet also lead on the preparation of the Council's budget.

The primary counterbalance to our Cabinet is through the Overview and Scrutiny Committees and the Audit and Governance Committee. These Committees are in place to provide support and a robust level of challenge to the Executive.

Our **Overview and Scrutiny committee** structure is based on the outcomes defined in the Corporate Plan with Committees for Economic Growth, People and Communities and Safeguarding. Each of them having responsibility for monitoring a number of specified objectives within it.

The workplans for the Overview and Scrutiny committees have included a number of focused scrutiny reviews to assess the Council's effectiveness.

The **Dorset Health Scrutiny Committee** also continues in its previous role, delivering scrutiny of external health partners and agencies.

The **Audit and Governance Committee** provides a constructive, proactive and objective consideration of the Council's financial, risk, governance, internal control framework, ethical principles and standards.

It has a "**Call to Account**" power to scrutinise and review decisions made or actions taken in connection with the discharge of any of the Executive functions of the Council. The Committee did not need to exercise its 'call to account' powers during 2017/18.

It also has a **Call-in process** to consider executive decisions and can also consider matters referred through the **Councillor Call for Action**. Again, these were not exercised during 2017/18.

#### **Example : Ironman Event 2017**

*A positive example of the effectiveness of the Call to Account powers relates to the inaugural Ironman Event in Weymouth which took place in 2016. The findings of the scrutiny process focussed in particular on marshalling arrangements and road closures for the 2016 event and established the need for a memorandum of understanding to set out clear roles and responsibilities.*

*Throughout 2017/18 the Committee scrutinised the preparations for the follow-up event, in partnership with officers and organisers, and were reassured over improvements made. The 2017 was assessed to have been a positive success.*

The **Chief Executive** has responsibility for:

- overseeing the implementation and monitoring the operation of the Code of Corporate Governance;
- maintaining and updating the Code in the light of latest guidance on best practice;
- reporting annually to the Corporate Leadership Team and to Members on compliance with the Code and any changes that may be necessary to maintain it and ensure its effectiveness in practice.

The **Chief Financial Officer** has responsibility for the proper administration of the County Council's financial affairs. This includes responsibility for maintaining and reviewing Financial Regulations to ensure they remain fit for purpose, and submitting any additions or changes necessary to the full Council for approval. The Chief Financial Officer is also responsible for reporting, where appropriate, breaches of the Regulations to the Cabinet and/or the County Council. A Scheme of Financial Management is operated to discharge these responsibilities.

It is confirmed that the Council's financial arrangements comply with the CIPFA statement on the Role of the Chief Financial Officer in Local Government.

The statutory role of **Monitoring Officer** is held by the Head of Organisational Development. The Monitoring Officer is responsible for ensuring that the Council acts within and through the law. Parallel to the responsibilities of the Chief Financial Officer the Monitoring Officer has a duty to report to the Cabinet and / or the County Council where it appears to him that any action or intended action by the Council is unlawful or amounts to maladministration. The Monitoring Officer also has responsibilities in relation to the Council's constitution and in relation to councillor conduct.

We are committed to promoting equality of opportunity, valuing **diversity** and eliminating discrimination.

This principle is supported by a **Diversity and Inclusion** policy and Joint Equality Scheme. Two corporate working groups oversee our approach. The Inequalities Group is outward focussed, whereas the People and Wellbeing Group oversees internal impacts.

## How can we improve?

A Diversity and Inclusion improvement action plan has been agreed, focussing on improving the Dorset Equality Scheme; our Corporate Working Groups; training and systems/processes.

# Principle B – Ensuring Openness and Comprehensive Stakeholder Engagement

A **complaints procedure** and a whistle-blowing policy and procedure are maintained and kept under review, providing the opportunity for members of the public and staff to raise issues when they believe that appropriate standards have not been met.

An annual report analysing complaints received and their resolution is presented to the Audit and Governance Committee. This Committee also has responsibility for overseeing the investigation of complaints against members.

Our **Communications** team provides a wide range of support for the whole council including using social media, internal communications, marketing and promotions advice, media relations

Committee meetings are open to the public, and **agenda papers and minutes** are transparently available on the internet.

**Your Dorset** is the council's newspaper and is one of our main channels for communicating with the people of Dorset about the services we provide. It's delivered to almost every household in the county (more than 207,000 homes), and feedback from residents consistently shows it is widely read and well regarded.

**Public consultation** plays a key part in the decision making process, across the full range of the Councils services.

We are committed to **partnership working**. The Dorset Compact sets out a framework for voluntary and public sector relationships in Dorset.

Guidance on best practice in partnership governance, together with the development of an alternative service delivery model governance and due diligence checklist, helps to ensure that partnership arrangements are as productive and secure as possible.

## How can we improve?

We are looking to review and centralise our communication, consultations and engagement functions to make us more resilient, flexible and minimise duplication, helping to make our resources stretch further.

# Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits

Our **corporate plan** sets out the contribution we will make to enabling communities in working together for a successful Dorset.

Delivery of this plan is supported by service plans, team plans and individual performance development reviews. These all include targets and, where appropriate, service standards against which service quality and improvement can be judged.

Two corporate working groups have an input and assurance role for delivery of our Outcomes Framework: The **Inequalities Group** and the **Policy, Planning and Performance Group**.

Our **Overview and Scrutiny committee** structure is based on the outcomes defined in the Corporate Plan with Committees for Economic Growth, People and Communities and Safeguarding. Each of them having responsibility for monitoring a number of specified objectives within it.

The workplans for the Overview and Scrutiny committees have included a number of focused scrutiny reviews to assess the Council's effectiveness.

A performance management framework is operated to underpin and monitor the corporate plan, using **Outcomes Based Accountability**.

Committees receive quarterly outcomes focused monitoring reports to assess the performance of the Council and its partners in meeting our outcomes.

## **Example : Superfast Broadband**

The Economic Growth Overview and Scrutiny Committee undertook a focussed scrutiny review of our Superfast Broadband Delivery Programme. It considered and assessed the Council's contribution to transforming Dorset into a digital economy in order to fully realise strategic benefits of economic growth, digital inclusion, transformation of public services and opportunities for individuals and communities.

## **How can we improve?**

We are undertaking a review of our operating model to improve how we use our collective resources and arrange our operations to deliver outcomes for our residents.

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

Each Cabinet member has been assigned as a specific **Portfolio Holder** with roles and responsibility for different themes, such as Health and Care; Safeguarding; Economy, Education, Learning and Skills; Community and Resources; Natural and Built Environment; and Workforce.

The Leader of the Council's portfolio includes Organisational Development, to ensure that the organisation is equipped strategically to provide the best value service. The Leader chairs the **Organisational Transformation Board**

### How can we improve?

We wish to improve how we are sighted early on any short, medium and long-term financial pressures in services. We are seeking to achieve this through improved identification and notification of performance issues that have the potential to increase budgetary pressures. This approach forms part of the remit of the proposed new centralised Data, Intelligence and Performance team.

The Local Audit and Accountability Act 2014 requires External Auditors to be satisfied that proper arrangements have been made for securing economy, efficiency and effectiveness in the use of resources (**Value for Money**).

The 2016/17 report provided a judgement that proper arrangements were in place to ensure informed decisions were made and resources deployed to achieve planned and sustainable outcomes for taxpayers and local people.

### How can we improve?

We will centralise our data, intelligence and performance resources to help us become a more data driven organisation.

There are four **Overview and Scrutiny Committees**, aligned to our Outcomes Framework: Safeguarding; Dorset Health; People and Communities; and Economic Growth.

Officer corporate working groups provide both a challenge and assurance role, with their remit mapped against the Healthy Organisation Model. These groups are: Inequalities; Policy, Planning and Performance; People and Wellbeing; Managing Our Assets; and Risk and Resilience. These Groups have a two-way reporting line to both the Corporate Leadership Team and One Council Group.

### How can we improve?

We need to be better at aligning our finances with our outcomes framework. Value for money therefore continues to be an area of focus.

## Principle E – Developing the County Council’s capacity, including the capability of its leadership and the individuals within it

**Appraisal and review processes** are the general means of identifying the training needs of members and officers. Appropriate training is made available to staff to ensure that individuals are able to undertake their present role effectively and that they have the opportunity to develop to meet their and the County Council’s needs.

We have an adopted **Health, Safety and Wellbeing at Work** Strategy, supported by Intranet pages with sample risk assessments and good practice guidance.

The **Staff Consultative Panel** is responsible for reviewing matters relating to the health, safety and well-being for all county council employees, supported by Directorate level committees. This provides union engagement.

Our **People Plan** for 2015-2020 sets out how we will be working differently to help achieve our vision of 'working together for a strong and successful Dorset'.

The **Staffing Committee** determines staff terms and conditions; appoints and manages performances issues relating to senior officers.

An extensive **member induction** programme is put in place after the County Council elections to ensure that newly elected members can quickly make an effective contribution to the work of the authority. This is supported by regular member briefing sessions to ensure that members are kept up to date on key issues.

The **Employee Wellbeing** team provide support to all employees and can offer links to a wide range of external sources of support for employees to look after both their physical and mental wellbeing.

The **People and Wellbeing Group** brings together officers across all Directorates to provide direction, challenge and assurance over employee related issues.

### How can we improve?

We need to improve the frequency and effectiveness of our People and Wellbeing corporate working group, to ensure better sharing of good practice and ‘One Council’ focus on improvement. This could be achieved through greater integration with the Equalities Group.

## Principle F – Managing risks and performance through robust internal control and strong public financial management

We have a strong risk management function, which has received positive national recognition from ALARM (the national public risk management association). A risk management policy and strategy has been adopted, and this is reviewed on an annual basis. All reports to committees include a statement to identify any high risks that may relate to the decision to be made.

Risk management is within the remit of the Council's Risk and Resilience Group which draws together lead officers from across the authority to ensure that issues and concerns are shared and that a consistent approach is adopted throughout the organisation. The Risk and Resilience Group also has a focus on emergency planning, business continuity, information governance and governance more generally.

Risk Registers are maintained at a corporate, service and project level to ensure that the authority is able to make risk informed decisions. Corporate risks identified as high are set out in the "Risk Management" section of this Governance Statement, including a summary of improvement actions being taken.

As local government reorganisation approaches for Dorset, the County Council is working with the Programme Office, District, Borough and Unitary Councils to ensure that risk is managed to ensure a smooth transition to the new Authority and beyond. This includes maintaining and reviewing risk registers at both a partnership and County Council level. Similarly work is underway with Health colleagues to better align risk management practices.

A Records Management unit facilitates our approach to information governance. We have temporarily increased capacity within this area, to respond to recommendations made by the Information Commissioners Office and in response to the General Data Protection Regulations (GDPR) which come into effect in May 2018.

We complete an Information Governance Toolkit annually to demonstrate that the organisation can be trusted to maintain the confidentiality and security of personal information, increasing public confidence that the NHS and partner organisations can be trusted with personal data.

### How can we improve?

The Information Commissioner's Office were invited in to carry out a review of our information governance arrangements during 2017 and identified a number of areas for improvement. A project team has been established to deliver any outstanding improvements and ensure that the Authority is in a good position to meet its obligations under the new General Data Protection Regulations.



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

Our **Internal Audit Service**, via a specific responsibility assigned to the Head of Internal Audit (the Group Manager, Governance and Assurance), is required to provide an annual independent and objective opinion to the Authority on its risk management, governance and control environment.

Since April 2010, our operational internal audit work has been carried out under contract by the South West Audit Partnership (SWAP).

The Council is committed to achieving high standards of integrity and accountability. Our **Anti-fraud, Bribery and Corruption** Strategy sets out our zero policy approach to such acts and records a clear commitment to deal with any cases robustly.

We aim to provide an open environment whereby employees and those working for the Council can raise issues that they believe to be in the public interest.

This policy sits alongside our **Whistleblowing** Policy and procedures which provides protection from any harassment, victimisation or other detriment to any whistleblowing on serious wrong doing.

**External audit** arrangements provide a financial audit statement, as per the Code of Practice on Local Authority Accounting.

A Value for Money statement is also provided annually. In 2016/17 provided a judgement that proper arrangements were in place to ensure informed decisions were made and resources deployed to achieve planned and sustainable outcomes for taxpayers and local people.

### **Example : Insurance Fraud**

*Our Insurance Team take potential fraud very seriously and will pursue action against individuals.*

*A Dorset man was ordered to pay £12,000 to the Council after a court found he falsely claimed he was injured by tripping in a pothole.*

*The case received positive exposure in both the local and national press, and led to the withdrawal of four further claims.*



# Risk Management

# Risk Management

As the Annual Governance Statement requires the Council to include those 'significant' governance issues, it is also informed by significant risks which have been assessed as high risks within the Corporate Risk Register in accordance with the councils approved risk criteria.

A prime purpose of the governance framework is to minimise the occurrence of such risks and ensure that any which do arise are highlighted so that appropriate mitigating action can be taken. These issues are largely substantial challenges to be managed over the long term. A summary of these 'significant' issues are outlined below, together with the council's response and actions to deal with these issues:

What is the identified risk?

What are we doing to reduce the risk?

## Financial Risks

Failure to ensure that learning disability services are sustainable and cost-effective

Mitigation

A complex care panel was established in October 2017 and work undertaken with the CCG to look at joint funded packages of care. A review of existing commissioned service is underway. Red Quadrant were commissioned to review high value packages of care, including learning disability.

A lack of sufficiency (placements/residential/foster care) impacts negatively on the demands led budget for children in care

Mitigation

The transformation programme has specific workstreams to address this risk. As a result of the work done to date, the numbers of looked after children are reducing, but budget pressures remain. Work continues to increase placements within the Dorset estate and increase capacity within the private residential sector. The programme of work includes enabling voluntary sector involvement in the delivery of a work package to support the emergency placement process.

General balances are depleted to a level below operating range

Mitigation

Any in-year overspend will reduce the general balances. If these fall below the lower end of the operating range (£10m) it would be raised as a matter for concern by our auditors, KPMG. In response, Group Finance Managers continue to liaise with Assistant Directors to develop mitigating actions. There is an increased focus on in-year financial positions via informal Cabinet and significant resource allocation work was carried out during the MTFP and budget strategy work for 2018/19, as reported to Council in February 2018.

Additional savings cannot be identified to bridge the unfunded gap

Mitigation

The largest risk to the programme currently is that even with the identified major transformation programmes there remains a need to deliver substantial savings, particularly in 19/20 but also for delivery of the 2017/18 and 2018/19 programmes. An external transformation adviser has been appointed to challenge future service delivery options.

Failure to keep school finances in balance

Mitigation

There is a continuing concern that Ofsted are putting more schools into a category which will require them to convert to sponsored academy leaving any deficit behind. A loan agreement has been established for schools with a deficit requiring a fixed repayment schedule. However, recent DfE national consultation suggests that this may not be permissible longer term. This would require an alternate response to this worsening risk.

Slippage in achieving savings targets

Mitigation

Ongoing monitoring and challenge continues, via the Organisational Transformation Board. Where appropriate, reserves and balances and central budgets are used to mitigate.

Failure to stabilise the budget for the High Needs Block

Mitigation

High Needs Block Recovery is a key project within the FT for Childrens Services "SEND Improvement" workstream. Schools Forum have not yet agreed the final figures, but will receive a further paper

Failure to achieve capital and revenue budget / savings targets for the Dorset Waste Partnership Medium Term Financial Plan

Pay awards and minimum wage increases provide emerging budget pressures above initial assumptions. DWP will continue to promote educational campaigns (such as 'Right Stuff, Right Bin') to maintain and increase material capture rates for recycling and composting. Further efficiencies to be driven from the existing Recycle for Dorset Service using the in-cab BARTEC system. Move ahead with the development of a central strategic waste transfer station to avoid an uncompetitive situation for disposal / treatment prices in Dorset.

What is the identified risk?

What are we doing to reduce the risk?

## Children and Young People

Failure to deliver Education, Health and Care Plans (EHCP) within Statutory Timelines

Mitigation

Deadline of March 2018 to complete the transfer from statements to EHCPs. External support commissioned to assist this process which is having a positive effect. As at end of January 2018 this work is 76% complete. Capacity to deliver this work has been improved through securing a full compliment of staff into the SEND team and optimising the deployment of staff on transfers. Focus on transfers continues to negatively impact on the ability to meet the 16 week and 20 week timescales although both have significantly improved. A Delivery Plan Group has been established to address issues around the timescales with an aim to complete 100% by the end of the financial year.

Failure to meet statutory and performance outcomes for young people in transition

Mitigation

Dedicated capacity for commissioning and additional social work staffing has been identified in local teams. The transformation programme includes a Transitions project within the Demand Management workstream.

What is the identified risk?

What are we doing to reduce the risk?

## Health and Safety

Health and safety risks associated with occupation of premises

Mitigation

The majority of sites now have a nominated Premises Responsible Person. However, restructuring of services and adoption of Corporate Landlord model has reduced local understanding of the Directorate Duty Holder Strategy. Following the Grenfell Tower fire tragedy, a review of fire safety was carried out, including a specific review of individual property risks.

## Resilience

Loss of ICT service or data through a cyber attack

Mitigation

Officer awareness and vigilance is key and it has been mandated that all ICT users complete the cyber e-learning module. Currently in the region of 60% have completed the module.

A gap analysis of our cyber defences has been completed and a review of market solutions offering stronger technical defences is underway leading to a proposal for further investment.

Review and refresh of our security policy suite and any associated corrective actions is underway

## Local Government Reform

Insufficient professional capability/capacity to deliver the full without impacting negatively on transformation savings programme

Mitigation

Joint Area Committee agreement for a Shadow Authority will have a significant impact on Council capacity. Limited amount of action can be taken until a clear decision is reached on local government reorganisation. Resourcing plans will be developed, and consideration given to additional capacity.

Separate risk registers are maintained to reflect both the County Council's own readiness for reorganisation, but also the wider programme level register maintained across the partnership.

## Infrastructure

Unable to provide sufficient school places (Basic Need)

Mitigation

A programme of delivery of Basic Need Schools in accordance with agreed timescales/costs is being monitored through relevant groups.

Whilst the framework has been agreed, a sufficiency strategy for school places is being developed to ensure that there is a long term view of school requirements.

The Audit & Governance Committee have requested that the Corporate Risk Register is extended to reflect wider infrastructure risks (i.e. interim solutions for key worker housing; GP surgeries etc).

Inability to maintain the highways infrastructure to an acceptable standard in the face of changing circumstances (eg budget reductions; climate change)

Mitigation

For the first time in five years the percentage of the highway network has risen. A 1% increase to 4% coincides with a reduction in the level corporate top up to the structural maintenance budget in 2017/18 of £500,000 with a further reduction of £250,000 planned for 2018/19.

With Band 3 status being maintained for 2018/19, the full allocation from the Department For Transport's Incentive Fund has been secured. Further submissions for central government funding will be made as and when the opportunities arise.

## Information Governance

Inadequate information governance framework and culture

Mitigation

Risk increased to High based on the audit carried out by the Information Commissioner in March/April 2017. A SWAP GDPR readiness review in November 2017 has highlighted the issues required to enable compliance with the legislation in May 2018 and an implementation project has commenced and is making positive progress.

What is the identified risk?

What are we doing to reduce the risk?

## Technological

ICT solutions are not fit for purpose, sustainable or delivering intended service benefits

Mitigation

Mosaic went live for adults, childrens services and finance on Nov 20th. Since Mosaic went live there has been continued disruption to the availability of Mosaic with periods of poor performance and system unavailability.

The current project team support arrangements will be extended reflecting the disruption and inability to transfer to business as usual.

Mismatch between Council's appetite for ICT enabled change and the overheads of maintaining the ICT estate against the sources of funding for that work

Mitigation

A technology strategy, setting out a change to the deliver of core infrastructure and productivity services as part of a transition to adopting a 'cloud-first' ICT approach has been prepared to underpin the Digital Strategy aspirations.

Work is underway to scope and provide an indicative cost for significant areas of work (Digital Strategy; ICT technical components to support local government re-organisation; Mosaic Project phases 1b, 2a & 2b and General Data Protection Regulations compliance.



What is the identified risk?

What are we doing to reduce the risk?

## Workforce

Inability to attract and retain suitably qualified specialist safeguarding staff within Childrens Services

Mitigation

The Forward Together for Childrens Services programme includes a significant focus on reducing this risk, via the Reinvigorating Social Work and Reducing Agency Spend workstreams.

The implications of Brexit (impacts on Dorset businesses and employees)

Mitigation

Policy and funding challenges and opportunities will occur as a result of the withdrawal of the UK from the European Union. Key risks include: Risk to Dorset business; Concerns of employees who are non-UK EU citizens; Wage pressure and availability of Health & Social care; and financial pressure on health and care.

A Brexit Advisory Group has been proposed to explore implications and response further.

## Partnership

Capacity, capability and financial pressures on partner organisations impact negatively on the delivery of the Better Care Fund objectives

Mitigation

There is a risk that any decrease or removal of the IBCF in 18/19 will threaten the ability to invest to support HIC Model delivery and DCC's protection of Adult Social Care.

Financial position of all pooled budgets to be monitored and managed in line with Section 75 agreements. Regular updates to be provided from all partners on any changes in financial position , to enable early consideration of any corrective action. System-wide workforce transition plans to be developed to support each programme. An external workforce plan is under development with the provider market, led by DCC.

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improving lives, building independence

Tricuro Executive Shareholder Group held at Beech House, Poole on  
22 March 2018

**PRESENT** - Karen Rampton (Chairman), Ray Bryan, Steve Butler, Blair Crawford, Mike Greene, Nicola Greene, David Harris, Jill Haynes and Mohan Iyengar.

**OFFICERS PRESENT:**

Helen Coombes (Transformation Lead, Dorset County Council)  
Jane Portman (Managing Director, Bournemouth Borough Council)  
Jan Thurgood (Strategic Director - Borough of Poole)  
Alison Waller (Managing Director - Tricuro)  
Phil Rook (Finance Director - Tricuro)  
Alan Bulloch (Non-Executive Director - Tricuro)

The meeting started at 2.00 pm and finished at 2.50 pm

**1. APOLOGIES AND MEMBERSHIP OF THE GROUP**

The Group was informed that Councillor David Harris had replaced Ros Kayes as a permanent Member of the Group.

Members were advised that apologies were received from David Walsh and Tony Ferrari (Dorset County Council). The Group was advised that Ray Bryan (Dorset County Council) attended as a reserve Member for David Walsh. Arrangements had been made for Mary Penfold to attend as a reserve Member for Tony Ferrari but due to a bereavement had been unable to attend.

**2. CODE OF CONDUCT**

There were no declarations of interest made at this meeting.

**3. MINUTES**

**DECISION MADE:**

That the minutes of the Executive Shareholder Group meeting held on 27 November 2017 were confirmed.

#### 4. MANAGING DIRECTOR UPDATE

The Managing Director (Tricuro) reported that Tricuro continues to focus on the achievement of greater efficiency and modernisation of its services, recognising the cultural change that continues to be addressed to ensure delivery of significant change.

The Managing Director informed Members on the current progress in preparation for the forthcoming tribunal. She reported that there was a telephone hearing on 6 April and explained that at this stage the process included the potential exchange of information. The Managing Director explained that it would be early June when bundles were finalised and agreed. Members asked specific questions on the process and these were answered by the Managing Director.

The Managing Director reported that good progress was being made on savings and transformation plans. She explained that there was some slippage on the programme as further detail and plans are awaited from commissioners to inform the next stages of some of the savings programme. The Group was informed that savings were being achieved through a restructure at Head Office as part of the budget strategy. The Managing Director reported that whilst it was important to retain capacity to ensure that the savings can be achieved in 2018/19 it was recognised that consolidation of services would impact on the overall management structure.

Following the inspection outcome of Inadequate at Sidney Gale House, Bridport, the Managing Director reported that Tricuro had employed the skills of an external quality consultant to assist with the work at Sidney Gale House in undertaking a pre-inspection check of the key lines of enquiry (KLOE's). The Managing Director reported on the stability with the new manager in post. Members were informed that the initial feedback from the audit had provided a platform which could be transferred to other registered services. The Managing Director reported that it was anticipated that the CQC would return to undertake a follow up inspection in late March/early April.

The Managing Director outlined the referral pathways into Coastal Lodge. Members were advised of the proposals to expand the pathways to reflect more orthopaedic and elderly care and that work was progressing to develop an integrated model of care with additional Health input. The Group was updated on the upskilling and training provided to Tricuro staff and the negotiations for 10 health beds at Coastal Lodge working with Bournemouth Commissioners.

The Managing Director reported that during the recent adverse weather conditions, despite the significant challenges, no clients were left without care. The Group was advised that stories were still being collated where staff went the extra mile to cover not only Tricuro clients but other clients where other providers were unable to provide essential care. The Transition Lead, Dorset County Council commented on the exceptional work/support from Tricuro.

The Group was advised that Tricuro had recently launched an internal training and development programme for managers across all services. The Managing Director reported that the training included a focus on business roles, income generation and sustainability. She explained that an internal job evaluation group had been established in partnership with the unions. Members were informed of the requirements for the Company of the gender pay gap reporting acknowledging that this was not an equal pay measure. The Group was informed of a recent event attended by the Managing Director hosted by Browne Jacobson and Grant Thornton to discuss the workforce, finances and modernisation of services for LATC's. Members were informed that the discussions would feed into a publication from Grant Thornton which would outline new thinking and challenges facing trading companies. The Managing Director reported that Tricuro would be compliant with the new General Data Protection Regulations which come into force on 25 May 2018. In the last 18 months the company has introduced different types of technology and electronic care systems which provide enhanced care and support to clients; this will be showcased to Shareholders in the near future.

A Member felt that this update report was in her opinion the best that had been submitted. The Managing Director in response to a question, explained funding opportunities which had been raised as an issue at the Grant Thornton event. The Chairman highlighted the opportunities to engage with Bournemouth University to assist with technology developments.

The Managing Director, Bournemouth Borough Council referred to the developments at Coastal Lodge. The Group was advised of the work being undertaken in addressing care needs and pathways for an integrated model for delivery including looking at staffing structures due to the design of the building.

The Group discussed the impact of the bad weather on care needs for individuals and in particular any evidence base for the potential number of deaths following this period. The Managing Director reported that there were pressures and increased referrals two weeks after. The Transition Lead highlighted the pressures services were facing but stressed that there was no evidence indicating the need to look at those people coming out of hospital and then suddenly becoming ill. She explained the action taken by providers in discharging people from hospital and the impact nationally and locally for social care.

The Strategic Director, Borough of Poole commented on the disaggregation workstream as part of the LGR proposals and thanked Tricuro for the work undertaken. It was noted that Tricuro were looking at where residents in Christchurch were receiving care.

The Group wished to add their congratulations to staff for all the work they had undertaken during the recent bad weather.

#### **DECISION MADE:**

That having considered and commented on a number of key areas of development and challenge for the Company as detailed above the report be noted.

## 5. FINANCE AND PERFORMANCE AND BUDGET 2018/19 UPDATE

The Group considered a report from the Finance Director which set out the forecast outturn and performance for the company for 2017/18 based on January data. The Finance Director stated that the report had been discussed and signed off by the Chief Financial Officers in Bournemouth, Poole and Dorset Councils specifically the on the budget for 2018/19.

The Finance Director reported that current forecast predicts a small underspend of £536k. He explained that income continued to grow steadily and commented on headcount indicating that FTEs had remained relatively steady in 2017/18 but headcount did drop slightly at the end of January 2018. Member were informed that the sickness rate had grown. The Finance Director reported that Managers were continuing to focus on reducing sickness absence by ensuring that attendance management processes were strictly adhered to including timely referrals to occupational health. Members were reminded that the target for FTEs was 8 days lost. Members were informed that HR Director was looking at the detail of this issue and she would report to the next meeting.

The Finance Director reported on the timing for the closure of the 2017/18 accounts and the external audit.

The Finance Director highlighted that the pressures on the company, which increased significantly since the national pay offer was announced on 5 December 2017. This is a proposed two-year increase of a minimum 2% in each year and introduces a new national pay spine on 1 April 2019. He outlined the significant impact on Tricuro due to the number of employees on lower pay grades and results in an average pay increase of 4.43% across the company and 55% of staff receiving a pay increase of over 5%. The level of this offer could not be anticipated and placed a further £635k pay pressure on the anticipated 1% pay increase for 2018/19.

The Finance Director reported on his discussions with the Chief Financial Officers, in relation to the national agreed pay award and highlighted that for Dorset County Council this would be subject to Cabinet approval. He also referred the increase in external income generation and how this effected on the anticipated funding gap in 2018/19.

A Member raised a question on the use of the underspend and any potential to reduce the demand on shareholders. The Finance Director explained that the forecast underspend was one-off and the budget pressures in 2018/19 were on-going. The one-off surplus would only be known once the 2017/18 financial statements were complete and it was therefore prudent that this could not be used to mitigate future funding pressures at this point.

A Member commented on the differences in downtime for reablement. The Managing Director reported on the different model of contract in Bournemouth and the level of long term packages. It was suggested that in future the report include the quantum used in demonstrating the performance levels.

## **DECISION MADE:**

1. That the 2017/18 forecast position as at the end of January be noted.
2. That the current performance be noted taking account of the above comments.
3. That the Group have considered and understand the service issues and risks associated with the saving measures and financial assumptions in the report.
4. That the proposed 2018/19 budget for Tricuro be approved.
5. That the recommendation that the additional costs to meet the proposed 2018 pay award of £464k (DCC £362.3K, BBC £81.8k and BoP £19.9k) and one off costs for DCC £422.6k be noted subject to the necessary approvals.

## **6. DATES FOR FUTURE MEETINGS OF THE GROUP**

The Group discussed the need for an additional meeting the week commencing 9 April 2018. Members acknowledged the potential to waive the normal notice period.

In addition, it was highlighted that the scheduled Group meeting in June 2018 would need to be rearranged due to the clash with the tribunal.

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