

Shadow Dorset Council Executive Committee

Date: Monday, 25 March 2019
Time: 4.00 pm
Venue: Committee Rooms A&B, South Walks House,
Dorchester, Dorset DT1 1EE

Membership:

R Knox (Chairman), G Suttle (Vice-Chair), A Alford, P Batstone, S Butler, J Cant, G Carr-Jones, T Ferrari, S Flower, M Hall, J Haynes, C Huckle, S Jespersen, A Parry, M Penfold, B Quinn, S Tong, D Turner, D Walsh and P Wharf

Chief Executive (designate): Matt Prosser
South Walks House, Dorchester, Dorset DT1 1EE

For more information about this agenda please telephone Democratic Services on or Lee Gallagher I.d.gallagher@dorsetcc.gov.uk - 01305 224191

Publication Date: Friday, 15 March 2019

This agenda and reports are also available on the Council's [website](#).

Members of the public are welcome to attend this meeting with the exception of any items listed in the exempt part of this agenda.

Disabled access is available for all of the council's committee rooms. Hearing loop facilities are available. Please speak to a Democratic Services Officer for assistance in using this facility.

Recording, photographing and using social media at meetings

The council is committed to being open and transparent in the way it carries out its business whenever possible. Anyone can film, audio-record, take photographs, and use social media such as tweeting and blogging to report the meeting when it is open to the public, so long as they conform to the Council's protocol, a copy of which can be obtained from the Democratic Services Team.

A G E N D A

Page No.

1 APOLOGIES

To receive any apologies for absence.

2 DECLARATION OF INTERESTS

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

3 MINUTES

5 - 10

To confirm and sign the minutes of the previous meeting held on 11 March 2019.

4 PUBLIC PARTICIPATION

To receive any public questions or statements on the business of the Shadow Executive Committee.

5 DORSET COUNCIL FORWARD PLAN

11 - 26

To consider the draft Forward Plan of the Dorset Council Cabinet.

LOCAL GOVERNMENT REORGANISATION PROGRAMME

6 PROGRAMME HIGHLIGHT REPORT

27 - 46

To consider a report by the Programme Director.

7 ADOPTION OF OVERARCHING ENFORCEMENT POLICY

47 - 54

To consider a report by the Lead Member for Governance.

8 INTERNAL AUDIT FORWARD PLAN

55 - 72

To consider a report by the Lead Member for Governance.

RECOMMENDATIONS

(Recommendations to the Shadow Executive Committee from shadow committees and Dorset area councils.)

9 DORSET HISTORY CENTRE - CAPITAL PROJECT UPDATE

73 - 84

To consider a recommendation from the Joint Archives Advisory Board meeting held on 1 March 2018.

MATTERS FOR DECISION

(Referred to the Shadow Executive Committee by Dorset councils)

There are no matters to be considered at this meeting which require a

decision by the Shadow Executive Committee which have been referred by any of the Dorset councils.

MATTERS FOR CONSULTATION

(Referred to the Shadow Executive Committee by Dorset councils)

There are no matters to be considered at this meeting which require consultation with the Shadow Executive Committee which have been referred by any of the Dorset councils.

10 EXEMPT BUSINESS

To consider passing the following resolution:

To agree that in accordance with Section 100 A (4) of the Local Government Act 1972 to exclude the public from the meeting in relation to the business specified below it is likely that if members of the public were present, there would be disclosure to them of exempt information as defined in Part 1 of Schedule 12A to the public interest in disclosing the information to the public.

11 PLOT SALE AT DORSET INNOVATION PARK

85 - 90

To consider a report by the Lead Member for Finance.

12 URGENT ITEMS

To consider any items of business which the Chair has had prior notification and considers to be urgent pursuant to section 100B (4) b) of the Local Government Act 1972. The reason for the urgency shall be specified in the minutes.

This page is intentionally left blank

Shadow Dorset Council

Executive Committee

**Minutes of meeting held at South Walks House, Dorchester
on Monday 11 MARCH 2019.**

Present: Cllrs R Knox (Chairman), G Suttle (Vice-Chair), A Alford, P Batstone, S Butler, J Cant, G Carr-Jones, T Ferrari, M Hall, J Haynes, C Huckle, S Jespersen, A Parry, M Penfold, D Turner, D Walsh and P Wharf.

Officers present (for all or part of the meeting): Matt Prosser (Chief Executive Designate), Keith Cheesman (LGR Programme Director), Aidan Dunn (Executive Director - Corporate Development S151 Designate), Jonathan Mair (Corporate Director - Legal & Democratic Service Monitoring Officer, Designate), Sarah Parker (Executive Director of People - Children), John Sellgren (Executive Director, Place), Jason Vaughan (Interim Section 151 Officer) and Lee Gallagher (Democratic Services Manager - Dorset County Council).

In accordance with the Overview and Scrutiny procedure Rules of the Shadow Dorset Council, 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.

34. **Apologies**

Apologies for absence were received from Cllrs Spencer Flower and Barry Quinn.

35. **Declaration of Interests**

There were no declarations by members of disclosable pecuniary interests under the Shadow Dorset Council's Code of Conduct.

36. **Minutes**

The minutes of the previous meeting held on 11 February 2019 were confirmed and signed.

37. **Public Participation**

There were no public questions or statements received at the meeting in accordance with Standing Order 28.

38. **Shadow Executive Forward Plan**

The Committee received the latest draft Forward Plan, which included all decisions to be taken throughout the Shadow Dorset Council period until 1 April 2019.

Noted

39. **Dorset Council Forward Plan**

The Committee considered the draft Forward Plan for Dorset Council and made the following changes:

- A report on the Better Care Fund would come to the new Cabinet as a recommendation from the Health and Wellbeing Board in June 2019.
- A request was made that before Car Parking Charges were considered by the new Cabinet, that effort be made to discuss the role and economic impact of car parks in a 21 century setting, which would be of particular interest to town and parish councils.

Noted

40. **Programme Highlight Report**

The Committee considered a report by the Programme Director which provided an overview of the Local Government Reorganisation Programme including workstream activity, key achievements, the second gateway review, risks and issues.

In relation to the risk regarding Dedicated School Grant funding, it was confirmed that a disapplication request had been agreed by the Department for Education to reallocate funding into higher needs which was welcomed by members.

Cllr Nick Ireland asked a question regarding plans for implementation of a Members ICT Strategy and budget for provision of devices. The Programme Director responded by confirming that there was an ICT Policy for members and this would include provision of a choice of corporately enabled devices for members, which would be met by corporate budgets. This provision would be included within the Members Induction Programme and all members would be encouraged to use the new devices which would be complemented with a personalised learning plan. It was noted that this approach was welcomed at the Shadow Overview and Scrutiny Committee meeting held on 7 March 2019.

Noted

41. **Adoption of RIPA Policy**

The Committee considered a report by the Lead Member for Governance on the Dorset Council policy in relation to the Regulation of Investigatory Powers Act 2000 ("RIPA").

Decision

1. That the draft RIPA policy attached as Appendix 1 of the Lead Member's report be adopted;
2. That the Chief Executive be designated as the Council's Senior Responsible Officer in respect of the exercise of the Council's RIPA powers; and,
3. That the Executive Directors be granted delegated authority to authorise officers within their service areas to exercise the Council's RIPA powers.

Reason for Decisions

Compliance with the Revised Code of Practice on Covert Surveillance and Property Interference (August 2018).

42. **Maintenance Funds Proposals Briefing Note**

The Committee received a briefing note by the Lead Member for Environment, Roads and Parks on the maintenance of the highway network in Dorset. A summary of the briefing note was provided and welcomed by members and thanks were expressed to the

Highways Team. General comments and observations were received in respect of specific locations across Dorset.

Noted

43. **Tricuro: Shareholder Viability Assessment Report**

It was explained at the meeting that the recommendation from the meeting had been subsequently updated since the meeting held on 20 December 2018 which meant that the recommendation was now a resolved item and did not require consideration by the Shadow Executive Committee.

Decision

That the recommendation be withdrawn from the meeting.

44. **Dorset Police and Crime Panel - Post April 2019 Arrangements**

The Committee considered a recommendations from the Dorset Police and Crime Panel on the future arrangements for the Panel in accordance with the Police and Social Responsibility Act 2011 which had been endorsed by the Home Office.

Decisions

1. That the arrangements for the Dorset Police and Crime Panel be endorsed, to ensure compliance with the Police and Social Responsibility Act 2011 post April 2019.
2. That these arrangements be formally adopted into the Constitution of Dorset Council as part of the Monitoring Officer's delegated authority to make consequential changes at the Shadow Dorset Council meeting on 20 February 2019.

Reason for Decisions

To ensure safe and legal arrangements were in place for the Dorset Police and Crime Panel following Local Government Reorganisation.

45. **Outcome of Children's Services Review**

The Committee considered recommendations from the Overview and Scrutiny Management Board of Dorset County Council from its meeting held on 29 January 2019 in relation to the findings and outcome of the Inquiry Day into Children's Services held on 15 January 2019.

The recommendations were supported by the Dorset County Council Cabinet on 6 March 2019 and the Executive Director, People (Children) was asked to continue to address the recommendations. The Executive Director also confirmed that the recommendations were embedded within improvement plans and progress would be reported back to members in due course. It was noted that the recommendations were being taken forward by the Children's Service Improvement Board, and that some had already progressed.

Cllr David Harris, as the Chairman of the Overview and Scrutiny Management Board, highlighted:

- The need for a high quality induction for members of the new Council in areas which affected the most vulnerable in Dorset. It was confirmed that this was an integral part of the Member Induction arrangements.
- For the relationship with the NHS to be enhanced in respect of Education Health and Care Plans (EHCPs). It was noted that this was a national issue. In relation to performance, over 90% of EHCPs were completed within the 30 week timescale.
- Improvement in communications with parents, which had already been addressed.
- The need for a Special Educational Needs and Disability (SEND) transport review. It was confirmed that this would be reported back in due course.

Decisions

That the Executive Director, People (Children) be asked to progress the recommendations for Dorset Council.

46. **Joint Public Health Board - Task and Finish Group paper**

The Committee considered recommendations of the Joint Public Health Board from its meeting held on 4 February 2019 regarding the future arrangements of the Board for Dorset Council and Bournemouth, Christchurch and Poole Council.

Decisions

1. That the proposed role and remit of the Joint Public Health Board to provide oversight and assurance on public health services delivered via the Public Health Grant be supported; and,
2. That the updated Terms of Reference for the Joint Public Health Board, in particular the revised membership of the Board, be agreed.

47. **New Safeguarding Children Partnership Arrangements**

The Committee considered recommendations from the Shadow Overview and Scrutiny Committee from its meeting held on 4 February 2019 on new Safeguarding Children Partnership Arrangements. Members supported the report and welcomed the prominence of the voices of children, young people and families as a significant part of the future of safeguarding. It was also recognised that progress would need to continue to be made in respect of integration with neighbouring local authorities.

Decisions

1. That the Pan Dorset Safeguarding Children Partnership Plan be approved.
2. That delegated authority be granted to the Executive Director – People (Children) for the plan to receive independent scrutiny ahead of submission to the Secretary of State for Education by 29 June 2019.

48. **Exempt Business**

Decision

That in accordance with Section 100 A (4) of the Local Government Act 1972 to exclude the public from the meeting in relation to the business specified below it was likely that if members of the public were present, there would be disclosure to them of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the public interest in disclosing the information to the public.

49. **Care Home and Extra Care Housing in Bridport**

The Committee received a report by Cllr Jill Haynes as the Cabinet Member for Health and Care, Dorset County Council in respect of the contract award arrangements for the Bridport Gateway Care Campus Development. The report was considered by the Dorset County Council Cabinet at its meeting held on 6 March 2019 which agreed the recommendations.

Cllr Haynes provided an extensive overview of the history and progress to date to arrive at a point of considering preferred bidders for the campus..

Members recognised the significant achievement of the project in realising the potential for the site and the benefits that residents and service users would gain from the development as well as the local community.

Questions were asked in relation to the quality and cost of the future provision as well as the contractual monitoring arrangements throughout the life of the development. Responses to the questions provided assurance for the Committee. Members were also briefed in relation to the communications arrangements for the development.

Decision (unanimous)

That the decisions of the Dorset County Council Cabinet be supported.

50. **Urgent Items**

There were no items of urgent business pursuant to section 100B (4) b) of the Local Government Act 1972 considered at the meeting.

Duration of meeting: 4.00 - 5.10 pm

Chairman

.....

This page is intentionally left blank

**Dorset Council
Cabinet Forward Plan - May 2019**

**For the period 16 MAY 2019 to 30 JUNE 2020
(publication date – 17 APRIL 2019)**

Explanatory Note:

This Forward Plan contains future items to be considered by the Cabinet and Council. It is published 28 days before the next meeting of the Committee. The plan includes items for the meeting including key decisions. Each item shows if it is 'open' to the public or to be considered in a private part of the meeting.

Definition of Key Decisions

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

- (a) to result in the relevant local authority incurring expenditure which is, or the making of savings which are, significant having regard to the relevant local authority's budget for the service or function to which the decision relates (**Thresholds - £500k**); or
- (b) to be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the area of the relevant local authority."

In determining the meaning of "*significant*" for these purposes the Council will have regard to any guidance issued by the Secretary of State in accordance with section 9Q of the Local Government Act 2000 Act. Officers will consult with lead members to determine significance and sensitivity.

Private/Exempt Items for Decision

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 shadow council 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.

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Appointments to Committees Key Decision - Yes Public Access - Open	Dorset Council	16 May 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Spencer Flower <i>Lead officer - Jonathan Mair, Corporate Director - Legal & Democratic Service Monitoring Officer, Designate j.e.mair@dorsetcc.gov.uk</i>
Appointments to Outside Bodies Key Decision - Yes Public Access - Open	Dorset Council	16 May 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Spencer Flower <i>Lead officer - Jonathan Mair, Corporate Director - Legal & Democratic Service Monitoring Officer, Designate j.e.mair@dorsetcc.gov.uk</i>
Forward Plan Key Decision - No Public Access - Open	Dorset Council Cabinet	5 Jun 2019	<u>Consultees:</u> Members Officers <u>Means of Consultation:</u> Meetings	None	Lead member - Leader of Shadow Dorset Council <i>Lead officer - Lee Gallagher, Democratic Services Manager - Dorset County Council l.d.gallagher@dorsetcc.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Safeguarding Partnership Arrangements Key Decision - Yes Public Access - Open	Dorset Council Cabinet	5 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Steve Butler <i>Lead officer - Sarah Parker, Executive Director of People - Children sarah.parker@dorsetcouncil.gov.uk</i>
Adoption of the Dorset and BCP Mineral Sites Plan Key Decision - Yes Public Access - Open	Dorset Council Cabinet	5 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	Dorset and BCP Mineral Sites Plan	Lead member - Councillor David Walsh <i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i>
Adoption of the Dorset and BCP Waste Plan Key Decision - Yes Public Access - Open	Dorset Council Cabinet	5 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	Dorset and BCP Waste Plan	Lead member - Councillor David Walsh <i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i>
Adult Social Care Charging and Financial Assessment, including Transport (provision and charging), Deferred Payments and Recovery of Debt Key Decision - Yes Public Access - Open	Dorset Council Cabinet	5 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Jill Haynes <i>Lead officer - Mathew Kendall, Executive Director of People - Adults mathew.kendall@dorsetcouncil.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Local Plan Review Key Decision - Yes Public Access - Open	Dorset Council Cabinet	26 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor David Walsh <i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i>
Better Care Fund (recommendation from Health and Wellbeing Board) Key Decision - Yes Public Access - Open	Dorset Council Cabinet	26 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Jill Haynes <i>Lead officer - Mathew Kendall, Executive Director of People - Adults mathew.kendall@dorsetcouncil.gov.uk</i>
Car Parking Charges and Tariffs Key Decision - Yes Public Access - Open	Dorset Council Cabinet	26 Jun 2019	<u>Consultees:</u> Parking Managers Budget Working Group (December 2018) <u>Means of Consultation:</u> Meeting	None	Lead member - Councillor Daryl Turner <i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i>
Annual Governance Statement Key Decision - Yes Public Access - Open	Dorset Council Cabinet	26 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Spencer Flower <i>Lead officer - Jonathan Mair, Corporate Director - Legal & Democratic Service Monitoring Officer, Designate j.e.mair@dorsetcc.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Making of Bere Regis Neighbourhood Plan Key Decision - Yes Public Access - Open	Dorset Council Cabinet	26 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor David Walsh <i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i>
Home to School Transport Policy Key Decision - Yes Public Access - Open	Dorset Council Cabinet	26 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Andrew Parry <i>Lead officer - Sarah Parker, Executive Director of People - Children sarah.parker@dorsetcouncil.gov.uk</i>
Promoting Independence Business Case (options appraisal for aids, adaptation and assistive technology contracts) Key Decision - Yes Public Access - Part exempt	Dorset Council Cabinet	26 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Jill Haynes <i>Lead officer - Mathew Kendall, Executive Director of People - Adults mathew.kendall@dorsetcouncil.gov.uk</i>
Wareham Neighbourhood Plan - Independent Examiners report and progress to Referendum Key Decision - Yes Public Access - Open	Dorset Council Cabinet	26 Jun 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor David Walsh <i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Corporate Plan Key Decision - Yes Public Access - Open	Dorset Council Cabinet	31 Jul 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Rebecca Knox <i>Lead officer - Matt Prosser, Chief Executive Designate matt.prosser@dorsetcouncil.gov.uk</i>
Budget - Statement of Accounts and Outturn 2018/19 Key Decision - Yes Public Access - Open	Dorset Council Cabinet	31 Jul 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Tony Ferrari <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i>
Budget/MTFP 2019/20 Key Decision - Yes Public Access - Open	Dorset Council Cabinet	31 Jul 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Tony Ferrari <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
<p>Base Budget Review of Children's Services</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	31 Jul 2019	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor Steve Butler, Councillor Tony Ferrari, Councillor Andrew Parry</p> <p><i>Lead officer - Sarah Parker, Executive Director of People - Children sarah.parker@dorsetcouncil.gov.uk</i></p>
<p>Schedule of Procurements for 2018/19</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	31 Jul 2019	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i></p>
<p>Internal Audit Annual Report (via Audit and Governance Committee)</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	31 Jul 2019	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor Spencer Flower</p> <p><i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i></p>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Internal Audit Plan (via Audit and Governance Committee) Key Decision - Yes Public Access - Open	Dorset Council Cabinet	31 Jul 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Spencer Flower <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i>
External Audit Report/Plan (via Audit and Governance Committee) Key Decision - Yes Public Access - Open	Dorset Council Cabinet	31 Jul 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Spencer Flower <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i>
S106 Charging for Educational Contributions Key Decision - Yes Public Access - Open	Dorset Council Cabinet	31 Jul 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Andrew Parry <i>Lead officer - Sarah Parker, Executive Director of People - Children sarah.parker@dorsetcouncil.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
<p>Dorset AONB Management Plan 2019-24 and the Cranborne Chase AONB Management Plan 2019-24</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	4 Sep 2019	<p><u>Consultees:</u> Wide public consultation, targeted partner consultation, including council members and officers, relevant authorities and regulators.</p> <p><u>Means of Consultation:</u> Pre-draft public meetings and targeted focus groups, post draft public consultations (9 weeks).</p>	Dorset AONB Management Plan Cranborne Chase AONB Management Plan	<p>Lead member - Councillor Daryl Turner</p> <p><i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i></p>
<p>Treasury Management and Prudential Code (via Audit and Governance Committee)</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	4 Sep 2019	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i></p>
<p>Capital Programme (from Shadow Executive on 11 February 2019)</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	4 Sep 2019	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i></p>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Review of Reserves (from Shadow Executive on 11 February 2019) Key Decision - Yes Public Access - Open	Dorset Council Cabinet	4 Sep 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Tony Ferrari <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i>
Children's Safeguarding Annual Report Key Decision - Yes Public Access - Open	Dorset Council Cabinet	4 Sep 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Steve Butler <i>Lead officer - Sarah Parker, Executive Director of People - Children sarah.parker@dorsetcouncil.gov.uk</i>
Adult Safeguarding Annual Report Key Decision - Yes Public Access - Open	Dorset Council Cabinet	4 Sep 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Jill Haynes <i>Lead officer - Mathew Kendall, Executive Director of People - Adults mathew.kendall@dorsetcouncil.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Budget Update Key Decision - Yes Public Access - Open	Dorset Council Cabinet	2 Oct 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Tony Ferrari <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate</i> <i>aidan.dunn@dorsetcouncil.gov.uk</i>
Community Safety Plan and Reducing Reoffending Strategy (via People Scrutiny Committee) Key Decision - Yes Public Access - Open	Dorset Council Cabinet	2 Oct 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Pauline Batstone <i>Lead officer - Mathew Kendall, Executive Director of People - Adults</i> <i>mathew.kendall@dorsetcouncil.gov.uk</i>
Crime and Disorder Reduction Strategy (via People Scrutiny Committee) Key Decision - Yes Public Access - Open	Dorset Council Cabinet	2 Oct 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Steve Butler <i>Lead officer - Mathew Kendall, Executive Director of People - Adults</i> <i>mathew.kendall@dorsetcouncil.gov.uk</i>
Making of Wareham Neighbourhood Plan Key Decision - Yes Public Access - Open	Dorset Council Cabinet	2 Oct 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor David Walsh <i>Lead officer - John Sellgren, Executive Director, Place</i> <i>jsellgren@dorset.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
<p>Youth Justice Plan (October - Council November)</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Dorset Council Cabinet</p> <p>Dorset Council</p>	<p>2 Oct 2019</p> <p>21 Nov 2019</p>	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	<p>None</p>	<p>Lead member - Councillor Steve Butler</p> <p>Councillor Jill Haynes</p> <p><i>Lead officer - Sarah Parker, Executive Director of People - Children sarah.parker@dorsetcouncil.gov.uk</i></p> <p><i>Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i></p>
<p>Unreasonable Complaints Policy</p> <p>Key Decision - No Public Access - Open</p>	<p>Dorset Council Cabinet</p>	<p>2 Oct 2019</p>	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	<p>None</p>	<p>Lead member - Councillor Spencer Flower</p> <p><i>Lead officer - Jonathan Mair, Corporate Director - Legal & Democratic Service Monitoring Officer, Designate j.e.mair@dorsetcc.gov.uk</i></p>
<p>Sandbags Policy</p> <p>Key Decision - No Public Access - Open</p>	<p>Dorset Council Cabinet</p>	<p>2 Oct 2019</p>	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	<p>None</p>	<p>Lead member - Councillor Daryl Turner</p> <p><i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i></p>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Equalities Policy Key Decision - No Public Access - Open	Dorset Council Cabinet	2 Oct 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Peter Wharf <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i>
Adult Social Care - Direct Payments Key Decision - Yes Public Access - Open	Dorset Council Cabinet	2 Oct 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Jill Haynes <i>Lead officer - Mathew Kendall, Executive Director of People - Adults mathew.kendall@dorsetcouncil.gov.uk</i>
Calendar of Meetings Key Decision - Yes Public Access - Open	Dorset Council	17 Oct 2019	<u>Consultees:</u> <u>Means of Consultation:</u>		Lead member - Councillor Spencer Flower <i>Lead officer - Jonathan Mair, Corporate Director - Legal & Democratic Service Monitoring Officer, Designate j.e.mair@dorsetcc.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Budget (MTFP/Council tax/Capital Programme/Treasury Mgt Strategy) Key Decision - Yes Public Access - Open	Dorset Council Cabinet Dorset Council Cabinet Dorset Council	11 Dec 2019 22 Jan 2020 13 Feb 2020	<u>Consultees:</u> <u>Means of Consultation:</u>		Lead member - Councillor Tony Ferrari <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i>
Dorset Joint Health and Wellbeing Strategy Key Decision - Yes Public Access - Open	Dorset Council Cabinet	11 Dec 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Jill Haynes <i>Lead officer - Sam Crowe, Acting Director of Public Health s.crowe@dorsetcc.gov.uk</i>
Constitution Review Key Decision - Yes Public Access - Open	Dorset Council Cabinet Dorset Council	22 Jan 2020 13 Feb 2020	<u>Consultees:</u> Members Officers Service areas <u>Means of Consultation:</u> Meetings Consultation Correspondence	Dorset Council Constitution (approved in February 2019)	Lead member - Councillor Spencer Flower <i>Lead officer - Jonathan Mair, Corporate Director - Legal & Democratic Service Monitoring Officer, Designate j.e.mair@dorsetcc.gov.uk</i>
School Admissions Policy Key Decision - Yes Public Access - Open	Dorset Council Cabinet	22 Jan 2020	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Andrew Parry <i>Lead officer - Councillor Emma Parker ellreparner@north-dorset.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Pay Policy Statement Key Decision - Yes Public Access - Part exempt	Dorset Council	13 Feb 2020	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Peter Wharf <i>Lead officer - Aidan Dunn, Executive Director - Corporate Development S151 Designate aidan.dunn@dorsetcouncil.gov.uk</i>
Housing Allocations Policy Key Decision - Yes Public Access - Open	Dorset Council Cabinet	1 Apr 2020	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Graham Carr-Jones <i>Lead officer - Mathew Kendall, Executive Director of People - Adults mathew.kendall@dorsetcouncil.gov.uk</i>
Area Neighbourhood Plan - Independent Examiners Report and progress to Referendum Key Decision - Yes Public Access - Open	Dorset Council Cabinet	Meeting Date	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor David Walsh <i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i>
Making of Arne Neighbourhood Plan Key Decision - Yes Public Access - Open	Dorset Council Cabinet	Meeting Date	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor David Walsh <i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i>

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
<p>Wool Neighbourhood Plan - Independent Examiner report and progress to Referendum</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	Meeting Date	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor David Walsh</p> <p><i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i></p>
<p>Making of Wool Neighbourhood Plan</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	Meeting Date	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor David Walsh</p> <p><i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i></p>
<p>Submit Gypsy and Traveller Site Allocations DPD to Secretary of State</p> <p>Key Decision - Yes Public Access - Open</p>	Dorset Council Cabinet	Meeting Date	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor David Walsh</p> <p><i>Lead officer - John Sellgren, Executive Director, Place jsellgren@dorset.gov.uk</i></p>

Shadow Dorset Council

Date of Meeting	25 March 2019
Lead Member	Rebecca Knox, Leader, Shadow Dorset Council
Officer	Keith Cheesman, Programme Director
Subject of Report	Programme Highlight Report
Executive Summary	<p>This report provides an update on progress since the last Shadow Executive Committee meeting on 11 March.</p> <p>This is due to be the last meeting of the Shadow Executive Committee before the 1st April. A reserve date has been arranged for 16 April. Subject to that meeting going ahead, a final highlight report will be produced providing an overview of any remaining 'finish go live' activity, a close-down report on the programme controls (risks, issues and decisions) and a budget summary.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>None in relation to this report.</p>
	<p>Use of Evidence:</p> <p>This report has been written in consultation with Project Managers, Subject Matter Experts and other members of the Programme Team.</p>
	<p>Budget:</p> <p>The revised Programme budget was agreed at the 17 December 2018 Shadow Executive meeting.</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as Amber.</p>
	<p>Other Implications:</p>

	None identified.
Recommendation	That the Shadow Executive notes the progress made since the last Shadow Executive Committee meeting.
Reason for Recommendation	No decisions are required at this time in connection with this report.
Appendices	1. Programme Highlight Report
Background Papers	None
Officer Contact	Name: Keith Cheesman Tel: 01305 221227 Email: Keith.Cheesman@dorsetcc.gov.uk

1. Summary and Progress

- 1.1 The full highlight report is attached at Appendix 1. At the time of writing, overall status remains at amber, with significant progress being made in this final 2 weeks to finish the last remaining elements of the implementation plans.
- 1.2 Key achievements in the last period include:
- The new Dorset Council signage has started to appear on buildings and vehicles
 - There's been a step change in programme communications, with the 'fact of the day' counting down to 1 April, complemented by member and employee briefings and newsletters
 - 45 Equality Impact Assessment screening reviews or full assessments have been undertaken, and the cumulative action plan is developing
 - Over 8,000 employees have received their TUPE letters
 - The new Council Tax bills have been distributed, the culmination of all the work on budget and new branding coming together as the first 'visible to many' sign of Dorset Council coming into place
 - Training has been rolling out, particularly to employees working in finance teams
 - An interim intranet has been built and is ready for 'go-live'
 - 42 essential ICT day 1 network changes have been completed
- 1.3 The last reports have highlighted the challenges around the data disaggregation for Social Care case data and associated files. The risk associated with the work continues at amber, but significant progress continues to be made and the work is reported to be on-track..
- 1.4 Considerable work also continues on partnerships and contracts. The draft Memorandum of Understanding is being reviewed by the Monitoring Officers from both programme teams, and the legal workstream continues to review partnerships and contracts requiring action for day 1.

2. Risks and Issues

- 2.1 The key programme risk remains around the data disaggregation plan for social care data described above. The severity level however has been downgraded as a result of agreed ways forward to resolve the issues and migrate the data.
- 2.2 The overall number of risks is reducing, as would be expected at this stage of the programme. The Project Managers will close down the remaining risks after 1 April, or transfer them to the Dorset Council risk register as relevant.

This page is intentionally left blank

OVERALL PROGRAMME STATUS – DATE: 13 MARCH 2019

Overall status		Scope		Budget		Time		Resource		Stakeholder		Risk & Issue	
-----------------------	--	--------------	--	---------------	--	-------------	--	-----------------	--	--------------------	--	-------------------------	--

Overall status remains at amber, with significant areas progressing the last remaining elements of their implementation plans. In ICT, progress continues to be on-track to migrate the agreed data across to BCP and considerable progress on decisions and delivery of day one functionality.

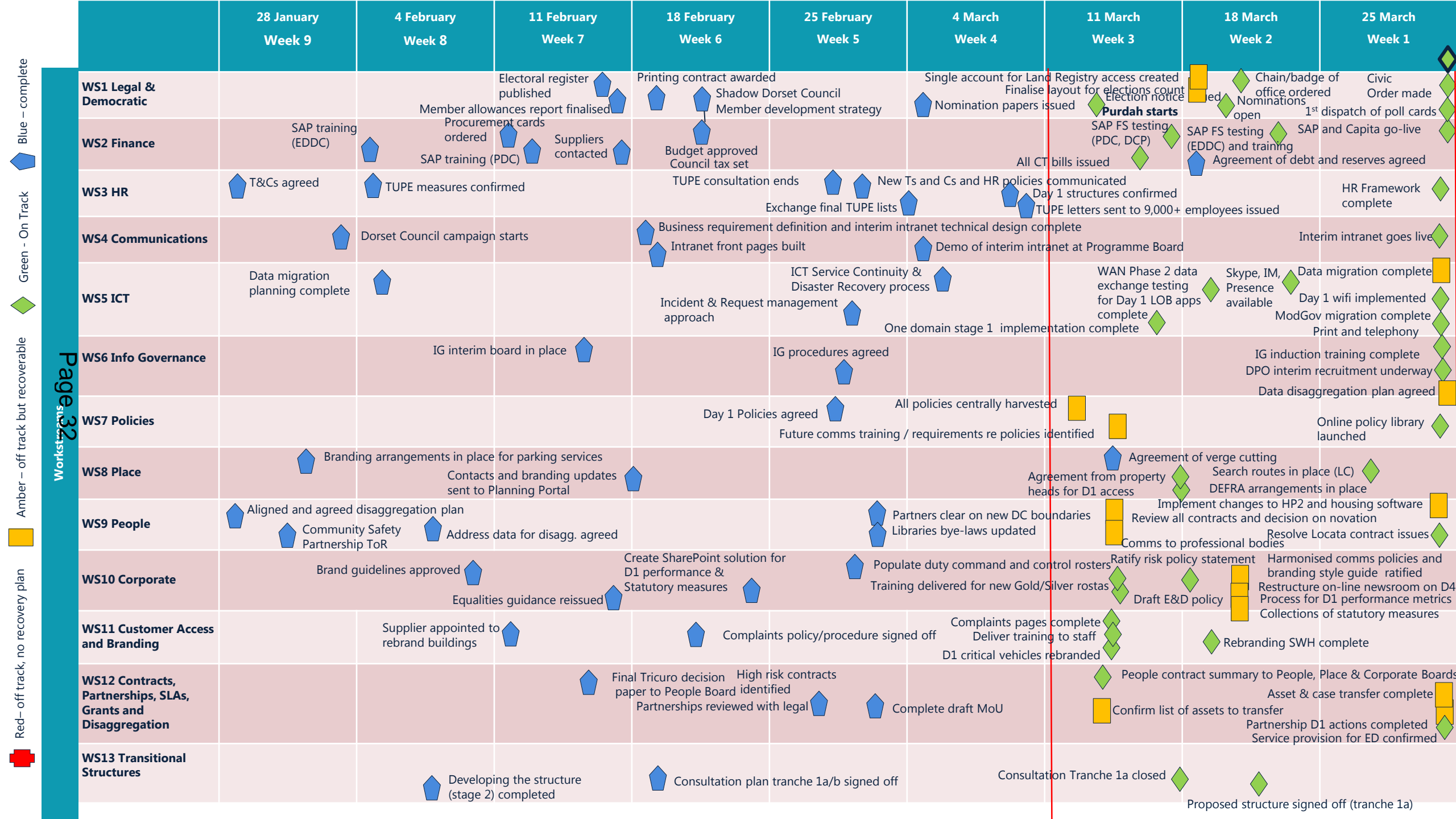
In Finance, Council Tax bills are being produced and posted as the culmination of all the work on budget and new branding coming together to be the first ‘visible to many’ sign of Dorset Council coming into place.

In HR, Letters to all employees are starting to go out to reflect the Transfer to their new employer and across the Theme Boards, final efforts to ensure all the service reporting lines are in place for day 1 within the interim structure, ahead of the Transitional Structures changes later.

In Partnerships and Contracts, final work continues to resolve specific requirements for change and letters to suppliers have gone out. Across all workstreams, policies are identified as part of the full register for day 1, in readiness for full review and adoption or replacement over the next two years.

Communications activity has stepped up across all channels with the branding launch, awareness campaigns, Member and employee briefings and newsletter, “fact of the day” material being pushed out to answer questions about what is in place for day 1.

Return to Green		Contracts and Partnerships resolving outstanding actions. Service Continuity implementations delivering against the plans.
Change Requests		No new change controls in progress.
Resources		Phase 2 resource requirements almost entirely met now
Plan		A mandate and plan is required to ensure the transitional phase is mapped and resourced, particularly in light of the need to review and refine Phase 3 plans - underway
Benefits		Part of the Gateway process being introduced is to enable the baselining and assessment of services, both external and internal, to understand any impacts of the transition and to be clear about the measures and metrics being applied to that assessment.



WS1: LEGAL AND DEMOCRATIC - STATUS UPDATE

Lead Member: Cllr Spencer Flower
 Workstream Sponsor: Jonathan Mair
 Project Manager: Andy Norman

Date: 13/03/2019

Workstream RAG



Overall Workstream Summary

Overall the schedule of tasks on the workstream plan have largely been completed with many of the work packages completed or in their final stages. The only project with significant outstanding tasks is that for Elections which runs beyond the 1st April and into the middle of May. The main focus remains on ensuring that the component teams, Legal, Democratic and Election Services, will be ready for day 1 so that there is continuity of service delivery. That said the Democratic Services teams' horizon has shifted beyond the 1st April to the operation of the Council and Committees in the coming year with the development of the Forward Plan.

Key Initiative Achievements (This Week)

- Continued review of the partnerships with Legal Services and Service teams to identify any risks for Day 1.
- Drafting of DRs for theme boards relating to Partnerships
- Confirmation with Members that South Walks House will be the location for Council Meetings
- Purchase of new desks for Council Meetings
- Confirmation from the College of Heralds that Dorset Council can continue to use the arms of Dorset and will send through the draft petition to Her Majesty the Queen for the arms to be formally transferred.
- Review of Members induction strategy held with Members and Officers
- Completion of EqlAs for Constitution, Members ICT Policy, and overarching Enforcement Policy

Next milestones

Milestone	RAG	Due Date	Target Date
Electoral register published	C	February 2019	February 2019
Members Allowances report finalised	C	February 2019	February 2019
Calendar of meetings approved	C	20 February 2019	
Members Allowances approved	C	20 February 2019	
Printing contract awarded	C	18 February 2019	
Member development strategy	C	27 February 2019	
Create single account for Land Registry access	A	27 February 2019	15 March 2019
Issue nomination papers	C	4 March 2019	
Finalise count layout	A	4 March 2019	15 March 2019

Key Initiative Activities (Planned Next Week)

- Issue DRs for Partnerships to Theme Boards
- Review and approval of RIPA policy by SEC
- Set up of accounts for Land Registry and HMCTS
- Confirm count layouts (postal and ballot box) have been finalised

Page 33

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
80			A snap General Election or Referendum could divert resource from the Programme to resource this at short notice.	Political situation could change forcing a general election or a second referendum and this would require Elections teams to focus on this rather than planning for the May elections. This would be more critical if either of these were called in the new year.	2	4	8	21/02/19 While the political climate remains volatile, the likelihood of a snap election reduces as we draw closer to the 1st April and therefore we have reduced the risk level.		

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date	
			There are no live issues at present						

WS2: FINANCE- STATUS UPDATE

Lead Member: Tony Ferrari
 Workstream Sponsor: Jason Vaughan
 Project Manager: Rosie Dilke; Jason Pengelly

Date: 13/03/2019

Workstream RAG

G



Overall Workstream Summary

The majority of the milestones have now been completed. Things are in place for Day 1 go live. The focus of work is moving to ensuring a joined up finance function such as training and go-live for applications, and working as one department following day 1.

Key Initiative Achievements (Last fortnight)

- Council tax bills sent to all residents of Dorset Council – the process starts on 7th March and completes on 13th March 2019.
- The new Capita cash receipting system has been implemented and all automated payments via Dorset for You and the automated telephone system will go via this route. The remaining manual payments will be switched over during the weekend of 31/03.
- Debt & reserve percentages have been agreed between DC & BCP.
- Intranet and internet pages content has been agreed and officers assigned to create the information required.
- Insurance has been procured for Dorset Council.
- Training completed for all relevant staff on the e-requisition form used for the SAP system for ordering items and suppliers.
- Agreement on how the treasury function will be managed across Dorset Council

Key Initiative Activities (Planned Next Fortnight)

- Process for loading of the 2019/20 budget into the SAP
- Testing of the general ledger interfaces to SAP from the district systems have already started and are due to complete on 22nd March. Training for service accountants will also take place in March with budget holder training planned in early April.
- Scoping for the Base Budget Review of Childrens Services
- A briefing is arranged on 28th March for all finance staff to introduce them to the new Dorset Council team.

Next milestones

Milestone	RAG	Due Date	Target Date
Capita cash receipting – go-live for staff	C	04/03/19	04/03/19
Council tax bills all sent	G	13/3/19	13/3/19
SAP “feeder systems” testing complete	G	22/03/19	22/03/19
All finance staff trained in SAP system	G	31/03/19	31/03/19
Actual go-live for SAP system	G	31/3/19	31/3/19
Actual go-live for Capita system	G	31/3/19	31/3/19
Agreement of debt and reserve percentages between Dorset & BCP	C	March '19	March '19

WS3: HR WORKSTREAM - STATUS UPDATE

Lead Member: Cllr Peter Wharf
 Workstream Sponsor: David McIntosh
 Project Manager: John Ferguson

Date: 13/03/2019

Workstream RAG



Overall Workstream Summary

TUPE lists exchanged & Staff letters issued. Day 1 reporting lines communicated. HR Policies confirmed. HR briefings delivered. H & S Policy drafted.

Key Initiative Achievements (This Fortnight)

TUPE lists exchanged
 TUPE letters sent to all employees including individual Measures, where relevant
 Day 1 Structures reporting lines communicated, ensuring all know their Day 1 line manager
 HR Policies signed-off
 HR briefings delivered in all sovereign council areas
 Existing casual and 'zero hours' employees contacted and invited to work for DC
 Health & Safety Policy drafted

Next milestones

Milestone	RAG	Due Date	Target Date
New Terms & Conditions and HR Policies communicated to all employees	G	22 nd Feb	15 th Mar
Health & Safety Policies finalised	G	15 th Mar	15 th Mar
Systems configured for revised Ts&Cs	G	22 nd Mar	22 nd Mar
HR Framework for new council	G	29 th Mar	29 th Mar

Key Initiative Activities (Planned Next Fortnight)

Communicate new Day 1 Ts & Cs
 Systems configured for new Ts & Cs
 Further briefings for schools based employees
 Priority HR Policies rebranded and uploaded to interim intranet
 Finalise 'central' H & S Risk Register including access and process for all staff

Page 35

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
139	HR Board	Aug '18 (updated 2019)	Insufficient capacity /resources to deliver the HR Workstream within timescales (project slippage)	Large and diverse workload to deliver the HR Workstream requires significant resources both within and beyond the Programme team, in addition to specialist HR resources are required to ensure safe & legal for Day 1.	4	3	12	External interim resources. Effective resource planning leading to alignment of int/ext resource as appropriate. Regular ongoing review of resourcing.	Prog Board	Apr '19
140	HR Board	Aug '18 (updated 2019)	Impact on HR Teams' ability to deliver BAU	Delivery of the HR Workstream necessitates significant work being undertaken by HR professionals from all sovereign councils. HR functions must also continue to support the current business. Some HR professionals (especially HR Managers and HR Business Partners) are particularly stretched between the two essential functions.	3	4	12	Resource planning. Some backfill. Significant sharing of HR Workstream workload across sovereign council HR teams	Prog Board	Apr '19

Top Risk

Top Issue

WS5: ICT WORKSTREAM - STATUS UPDATE

ICT Member Lead: Councillor Tong
Workstream Sponsor: Sue Joyce
Project Manager: Jon Ashworth

Date: 13/03/2019

Workstream RAG

A

A

Overall Workstream Summary

The ICT workstream work packages are currently reporting as follows: Collaboration, Day 1 Apps, ICT Service Delivery and Infrastructure - Green, Data Disaggregation - Amber.

The ICT workstream continues to report as Amber as, although there is an agreed Social Care data disaggregation interim solution which is currently on track to deliver, it is acknowledged on both sides that we are working to tight timescales.

Key Initiative Achievements (This Week)

- Go live with some payment channels for the new Cash Receipting system
- 14 Data Migration Decision Requests approved by IG
- LLPG & LSG – Data exported
- Public WIFI – resolved technical issues with districts changing WIFI splash screens
- 56 Data Migration DRs completed drafted and progressing through governance
- Completed 42 essential Day 1 Network Changes

Key Initiative Activities (Planned Next Week)

- Plan the testing of email re-writes at Purbeck, PDC and East Dorset
- Complete Service Delivery DRs for ICT Service Continuity & OOH support, Problem Management, Change Control and Procurement
- Enable access to the SAP training system at district councils
- DR for Day 1 printing and Testing
- Mail Chimp campaign to notify users of their new Dorset Council Email addresses

Next milestones

Milestone	RAG	Due Date
Data Migration Planning complete	C	6 Feb 19
One Domain Stage 1 implementation complete	G	15 Mar 19
Day 1 Print solution complete	G	1 Apr 19
Skype – IM & Presence complete	G	1 April 19
Incident & Request management approach	C	1 Mar 19
WAN Phase 2 data exchange testing for Day 1 LOB applications complete	G	22 Mar 19
All Day 1 apps live	G	1 Apr 19
Corporate & Public Wi-Fi solution implemented	G	1 Apr 19
Data Migration for Day 1 complete	A	1 Apr 19

ID	Raised By	Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
259	Karen Perrett	BCP are working with their supplier to migrate Social Care data from DC to BCP. Their supplier is unable to deliver for 1 st April 2019. Interim solution is now required.	DC and BCP will not be safe and legal on 1 st April 2019 as BCP relevant employees will not have access to Christchurch Social Care data	5	3	15	Interim & contingency solutions agreed, interim solution currently on track. Work continues on permanent solution to disaggregate all Christchurch social care data to BCP.	Mark Smitton	28 Feb 19

WS6: INFORMATION GOVERNANCE - STATUS UPDATE

Lead Member: Cllr Simon Tong
 Workstream Sponsor: Steve Mackenzie
 Project Manager: Sue Howard

Date: 13/03/2019

Workstream RAG:



Overall Workstream Summary

Focus on finalising all Day 1 activities including final preparation on the training material, team structure and finalising communications on Information Governance. Progression on sign off of data disaggregation records.

Key Initiative Achievements (This Week)

- Continual sign off of Decision Records for data disaggregation
- Continual review and amendments to online training portal
- Papers produced to manage transfer of hard copy documents between DC and BCP
- Communication records provided to theme boards and to go on internet and intranet
- Policy document cover sheets and EQIAs finalised
- DPIA rationale produced for all data disaggregation applications

Next milestones

Milestone	RAG	Due Date	Target Date
Data disaggregation plan agreed	A	31/12/2018	31/3/2019
IG induction training complete	G	31/3/2019	
Information Commissioners Office (ICO) registration for members	G	2/5/2019	
Procedures agreed	C	28/2/2019	
DPO interim recruitment underway	G	31/3/2019	
IG member training complete	G	15/5/2019	

Key Initiative Activities (Planned Next Week)

- Finalise changes to training portal
- Finalise all policy updates onto IG pages of intranet and Dorset4U
- Set up meeting for new structure of IG.
- Further disaggregation sign review and sign off
- DPIA agree rationale with DPO

Page 38

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
92	IG Board	1/8/2018	Migrated data may be incorrect	There may be errors during migration of data but this has been mitigated by controls in place to ensure that the data is migrated safely	5	1	5	Decision Records have been raised and processes agreed to ensure the safe migration of data	IG Board	TBC

Top Risk

WS8: CUSTOMER AND SERVICE CONTINUITY - PLACE THEME - STATUS UPDATE

Lead Member: Cllr Mary Penfold, Cllr David Walsh, Cllr Daryl Turner, Cllr Anthony Alford
 Workstream Sponsor: John Sellgren and Bridget Downton
 Project Manager: Emily Hallett

Date: 13/03/2019

Workstream RAG:



Overall Workstream Summary

All customer journeys meetings have now taken place with workstream coordinators, following up actions are being added to implementation plans and actioned for day 1. Statutory reporting requirements are currently being gathered to ensure submissions are in place. Services are currently submitting their policies to be uploaded into Dorset Councils policy library. 82 policies have been completed with 52 due to be submitted by 8/03/2019. Services are also working on their local schemes following release of the template from Legal and Democratic. These are due to be received by 15th March to be signed off by the Executive Director.

Key Initiative Achievements (This Fortnight)

- Place Board chair invited some coordinators to attend place board to provide an update on outstanding issues and tasks
- General statement of enforcement reviewed by board for input and will be communicated out to services once finalised by legal
- 8 Place system/ application DRs approved by Board
- Stickers for covering predecessor council names on parking machines have been ordered
- Environmental Health out of hours services has been agreed
- Counsel advice sought regarding inspection of life saving equipment on private beaches, response is due w/c 11/03
- Branding and email addresses sent to planning portal
- Put down date agreed for on hand land charges application routes (25th - 29th March) in order to clear existing searches out of systems
- Responsibilities and maintenance agreed for verge and land in relation to Dorset Council ownership and Weymouth Town Council ownership.
- Plan of action in place by service to undertake additional workload from day 1
- Arrangements in place for Economic Development accountable bodies
- Enforcement officer uniforms and vehicle livery ordered for Regulatory

Next milestones

Milestone	RAG	Due Date	Target Date
DEFRA arrangements in place	G	15-03-19	
Agreement of verge cutting maintenance arrangements to reduce risk 187	C	15-03-19	
Agreement from property heads for day 1 access of property information in place	G	15-03-19	
Amalgamation of property records and production of a list of Dorset Council property assets	A	14-03-19	
Corporate Landlord responsibilities agreed.	A	14-03-19	
Arrangements in place with BCP for HER and Planning advice	G	14-03-19	
Branding for enforcement in place	G	15-03-19	
Enforcement arrangements agreed	G	15-03-19	

Key Initiative Activities (Planned Next Fortnight)

- Dog warden out of hours issues to be agreed with HR to ensure East Dorset cover from day 1
- Interim duty holder arrangements for harbours to be finalised
- Issue being raised with MHCLG regarding Building Control's competent persons scheme (LABC).
- Notices to Mariners, local rules and bylaws established
- Finalise planning disaggregation system configuration (mastergov)
- Agreement from property heads for day 1 access of property information in relation to Christchurch
- Grant arrangement agreed with Natural England and Rural Payment Agency
- Corporate Landlord Responsibilities and property duty holders agreed
- PFI contract SLA agreed with BCP

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
173	Bridget Downton/ Mike Harries	18/10/2018	Reduction in service levels due to outcome of TUPE and stranded costs	Outcome of TUPE and stranded costs from disaggregation results in insufficient capacity for Dorset Council to deliver some place services from day 1. This could lead to reduction in service levels until issues are resolved.	4	2	8	Agreed action for all co-ordinators to review if there are any outstanding issues - email to be sent 21/02/19	Place Board	
256	Bridget Downton	12/12/2018	Existing Council projects in relation to application changes (for example DCP's Development Management iDox project) have run late.	This has resulted in 'go live' for a new system coinciding with vesting day. This may impact on implementation activities and capacity of teams.	3	3	9		Place Board	

Top Issue Top Risk

WS9: CUSTOMER AND SERVICE CONTINUITY - PEOPLE THEME - STATUS UPDATE

Lead Member: Cllr Jill Haynes, Cllr Steve Butler, Cllr Graham Carr-Jones, Cllr Andrew Kerby
 Workstream Sponsor: Helen Coombes and Nick Jarman
 Project Manager: Faye Brooks

Date: 13/03/2019

Workstream RAG: A 

Overall Workstream Summary

Focus continues to be on implementation plan actions, ensuring any items with an overdue date are mitigated or raised to the appropriate level based on impact of delay. Amber areas for milestone reporting assessed for impact to day 1 delivery, no red areas identified.
 Communication plans for each service area have been reviewed to harmonise across the theme and link to the corporate external communication campaign.
 Decision records for IT applications continue to progress through the people board. Status remains amber linking to the IT workstream for delivery of mosaic, alongside overdue milestones as described below.
 Potential reputational risk identified to the Tell Us Once system within registrations however this is being worked through and appropriate escalation will happen next week depending on outcomes of meetings.

Key Initiative Achievements (This Week)

- Policies and policy sheets completed
- Active for Health disaggregation complete
- Gladstone disaggregation complete
- Unstructured data communications sent out
- Customer journey information fed into customer access
- Communication plans received
- ID card reconciliation for Adults & Childrens; identifying outstanding information required
- Enforcement policy reviewed

Key Initiative Activities (Planned Next Week)

- Local Schemes of Delegation to be completed
- Housing service delivery in East Dorset paper to be approved
- ID Cards/ Warrant cards to be distributed out to teams
- Consolidated archive position paper to be approved
- Disaggregation of Registration fees paper to be approved
- People Theme contracts & partnership arrangements to be approved
- Transition weekend OOH arrangements for services confirmed to people board

Milestone		Due Date	Target Date
CQC and key partners are clear about administrative boundary of new council	C	28/02/2019	
Christchurch cases to be cleansed	A	28/02/2019	15/03/2019
Communication of changes with Directorate specific professional bodies	A	28/02/2019	15/03/2019
Review all contracts and decision on novation to be made	A	31/01/2019	14/03/2019
Implement changes to HPA2	A	28/02/2019	29/03/2019
Implement housing software configuration changes	A	28/02/2019	29/03/2019
Disaggregation of data for Active 4 Health & Activate	C	31/12/2018	
EDDC data available on Gladstone	C	31/01/2019	
Library Bye-Laws updated	C	31/01/2019	
Ensure that lines of responsibility for Premises Related Persons and Directorate Duty Holders are clear for new Council and continue	C	31/01/2019	
Resolve Locata contract issues	G	29/03/2019	

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
264	Faye Brooks	03 Jan 19	Links to IT workstream risk no: 259. Without a data disaggregation plan for 1st April 2019, there is a risk to service delivery/ continuity for Christchurch cases due to lack of access to data.	Service continuity/ safe and legal delivery of social care for adults and children's may be impacted for day 1.	5	3	15	Working with ICT workstream to understand and agree options available, impact and risks for day 1 delivery	Helen Coombes/ Nick Jarman	31 Mar 19

WS10: CORPORATE SERVICES & STAFF – CORPORATE- STATUS UPDATE

Lead Member: Cllr Tony Ferrari, Cllr Spencer Flower, Cllr Peter Wharf
 Workstream Sponsor: Jonathan Mair
 Project Manager: Nina Coakley

Date: 13/03/2019

Workstream RAG:

A



Overall Workstream Summary

Following recent review, EqIAs are now being completed and signed off through Corporate Board. Statutory reporting has been collated and leads assigned in the majority who will be responsible for the convergence and consolidation of the information. Further activity is required to ensure all KPIs have a new lead assigned. Clarification is required as to scope of day 1 metrics. Corporate risk register and policy will be ratified at ISEC on 18 March alongside a risk appetite workshop. All communications teams workshop will support the development of day 1 working arrangements. Local Authority Liaison Officer (LALO) recruitment will be underway following confirmation from HR on payment terms.

Key Initiative Achievements (This Week)

- 'Fact of the day' initiated from 1 March based on the output of the staff impact assessment
- Interim Gold/Silver rota developed and shared with officers
- Decision at Corporate Board to load equality policy as a draft for day 1 pending completion of the corporate plan
- Statutory reporting list further populated and a SharePoint solution for monitoring set up
- Communications design service resource for East confirmed
- Media/consultation/social media/emergency planning policies drafted

Key Initiative Activities (Planned Next Week)

- Commence LALO recruitment for East/Purbeck areas following confirmation of payment terms by HR.
- Corporate risk management strategy to be developed.
- Risk workshop with Informal Shadow Executive Committee to be held 18/03/19.
- Scope for day 1 metrics to be confirmed following PB on 06/03/19.
- Upload statutory reporting to new SharePoint page for new theme boards to monitor post day 1.
- Communications to services via theme boards of statutory reporting requirements post 1 April.
- Communications team workshop to agree day 1 working arrangements to be held on 12/03/19.
- Draft interim EqIA process for day 1 confirmed.
- Media/consultation/social media/emergency planning policies to be subject to EqIA screening.
- Branding style guide to be completed and ratified by Corporate Board.

Next milestones

Milestone	RAG	Due Date	Target Date
Harmonised comms policies ratified	A	28/02/19	20/03/19
Branding style guide ratified	A	28/02/19	20/03/19
Draft equality and diversity policy	G	15/03/19	15/03/19
Ratify Risk Policy Statement and Corporate Risk Register	G	18/03/19	18/03/19
Restructure online newsroom on DFU	A	28/02/19	20/03/19
Duty Command & Control rosters complete	C	28/02/19	
Training delivered for new Gold/ Silver/ Bronze officers	G	08/03/19	15/03/19
Process for Day 1 performance metrics	A	08/03/19	22/03/19
Collection of statutory performance measures	A	08/03/19	15/03/19
Recruitment of LALO for East	R	31/03/19	

Page 42

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
75	Equality Officers	25/02/19	<i>Failure to identify the impact of service change on our staff and communities results in a breach of the public sector equality duties</i>	Dorset Council at risk of legal challenge	3	3	9	Review of programme EqIAs. Programme Board alerted 27/2. Legal advice sought on liability for Dorset Council.	Jonathan Mair	15/03/19

WS12: CUSTOMER AND SERVICE CONTINUITY – CONTRACTS, PARTNERSHIPS, SLAS, GRANTS - STATUS UPDATE

Lead Member: Cllr Sherry Jespersen
 Workstream Sponsor: Matt Piles
 Project Manager: James Howie

Date: 13/03/2019

Workstream RAG A

Overall Workstream Summary

Partnership activity now focussed on agreeing partnership DRs with BCP element. Contract analysis is progressing and a summary analysis for all areas is being produced to be delivered to the next delivery boards. The contracts database will be a continually updated to reflect the nature of the work involved. A draft memorandum of understanding has been completed and has been circulated for review. Partnerships review is in progress with the legal workstream.

Key Initiative Achievements (This fortnight)

- Draft memorandum of understanding is being reviewed by BCP and SDC monitoring officers.
- BCP continuing work with regards reviewing all contracts with a disaggregated element.
- Review of partnerships list by the legal workstream complete and actions for services have been shared.
- Summary templates for contracts have been drafted for the service boards.
- Communication to suppliers has been sent.

Key Initiative Activities (Planned Next fortnight)

- Contract summary templates to be presented to all delivery boards along with a draft of the memorandum of understanding to confirm day 1 contract work has been complete.
- Legal workstream to continue the review and actions for all partnerships with a BCP element. Liaise with services to complete requirements.
- Complete memorandum of understanding for the 31st of March.

Next milestones

Milestone	RAG	Due Date	Target Date
Communication to suppliers complete	C	28/02/2019	28/02/2019
Complete draft memorandum of understanding	C	31/01/2019	07/03/2019
Final Tricuro decision paper to People board	C	27/02/2019	14/02/2019
Partnerships reviewed with Legal	C	31/01/2019	01/03/2019
People contracts summary to People board	G	14/03/2019	14/03/2019
Place contracts summary to Place Board	G	20/03/2019	20/03/2019
Corporate Contracts summary to corporate board	G	20/03/2019	20/03/2019
Partnership day 1 actions completed	A	31/03/2019	31/03/2019

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
228	CL	24/10/18	Contracts for service provision missed	High value/complex contracts should all be captured. However, there is risk that lower value contracts could be missed	3	1	3	Collation of all contracts into Accord Engagement with Senior Procurement officers Spend checking with SAP to identify any 'non-compliant' spend	JH	31/03/2019

WS12: CUSTOMER AND SERVICE CONTINUITY – DISAGGREGATION - STATUS UPDATE

Lead Member: Cllr Jeff Cant
 Workstream Sponsor: Sarah Parker
 Project Manager: James Howie

Date: 13/03/2019

Workstream RAG: G



Overall Workstream Summary

Disaggregation is working through a wide range of elements to date. The main focus is ensuring that structured and unstructured data, all assets are transferred in a safe and legal way. The final list of assets to transfer has been collated, Hurn depot outstanding with regards asset transfer agreement. An analysis of the TUPE list has taken place with regards the team structures for day 1 and how this will impact service continuity, including staff based in offices within CED and the mitigation of gaps within services is now being solutioned.

Key Initiative Achievements (This Week)

- TUPE list of DCC staff transferring to BCP delivered.
- Service continuity for East Dorset reviewed and actions taking place to ensure safe and legal for day 1.
- Decision record provided by BCP on how ICT infrastructure will work for the locality offices in Christchurch for day 1 and what support is required by DC.
- Confirmation of what assets will be handed back to DC for day 1 by TUPING staff.

Next milestones

Milestone	RAG	Due Date	Target Date
Understand all unstructured data requirements from each service that requires disaggregation	C	31/01/2019	31/01/2019
Service impact evaluation complete from TUPE lists	C	31/01/2019	31/01/2019
Case Transfer Commences	C	31/01/2019	22/02/2019
Confirm final list of all assets to transfer	A	15/02/2019	15/03/2019
Assets & Case Transfer complete	A	29/03/2019	29/03/2019
Service provisions for East Dorset confirmed	G	31/03/2019	31/03/2019
Day 1 Applications in place	G	01/04/2019	01/04/2019

Key Initiative Activities (Planned Next Week)

- Final list of assets to be transferred to BCP to be agreed
- Review and implement actions to ensure the new service delivery for East Dorset is achieved.
- DC to confirm costing for the support of providing ICT infrastructure support for the Christchurch locality offices.
- Confirm requirements and timeframes for social care case transfer.
- Confirm with BCP their project plan around information transfer to their TECH FORGE.
- Ensure that all services are aware of the process that is required for transferring unstructured data.

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
259	Karen Perrett	2 Jan 19	BCP are working with Servelec to migrate Social Care data from DC to BCP. Servelec sent quote for work on 20 th Dec 18 but did not include a delivery plan.	DC and BCP will not be safe and legal on 1 st April 2019 as BCP relevant employees will not have access to Christchurch Social Care data	5	3	15	Interim & contingency solutions agreed, interim solution currently on track. Work continues on permanent solution to disaggregate all Christchurch social care data to BCP.	Mark Smitton	28 Feb 19

TRANSITIONAL STRUCTURES: STATUS UPDATE

Workstream Sponsor: Matt Prosser
 Lead Member: Cllr Rebecca Knox
 Project Manager: Leon Ainsworth

Date: 13/03/2019

Workstream RAG: A

Overview / Summary

Tranche 1a: On track. Preparation for Tranche 1a continues with HR processes and criteria being documented for decisions. Matt and SLT are undertaking 1:1 consultation meetings with Chief Officers whose roles potentially align to the proposed Corporate Director roles. The timeline for Tranche 1a and 1b has been communicated alongside adjustments to the Voluntary Redundancy (VR) timeline. Interview slots for the Corp Dir roles are being diarised with Members for the 25/04. Discussions with TUs continue in terms of the Job Evaluation framework and it is envisaged this will be closed out next week (13/03). Resource concerns have been alleviated with Angie Twelves (HR BP) being fully assigned to Transitional Structures as of the 11/03. The numbers continue to improve for consultation feedback. Total number of queries 546, open queries 155, closed queries 381, responses sent in past fortnight 130. The Group follow-up sessions with HR and Waste teams were held on the 05/03 and allowed for alternative proposals to be created. These alternatives have been taken to Matt Prosser as potential options to be considered for consultation.

Activity	Next milestones			
<ul style="list-style-type: none"> Group feedback sessions continue (e.g. ICT 12/03) Logging, tracking, assessing and responding to tranche 1a and 1b consultation queries continue (25/04) Documented Selection process, criteria and timeline for Tranche 1a (Corp Dir) VR timeline and documentation updated with the capturing of VR queries continuing (25/04) Alignment of proposed new Job Descriptions against the Job Evaluation Framework (15/03) Alternative structure proposals captured for review by Matt and SLT (e.g. Assets & Property, Waste, HR) EqIA updated and shared with TUs 	Milestone	RAG	Due Date	Target Date
	Consultation Tranche 1a Closed	G	18/03/19	18/03/19
	Proposed Structure Signed off (Tranche 1a)	G	22/03/19	22/03/19
	Consultation Tranche 1b Closed	G	25/04/19	25/04/19
	Interview Corporate Directors	G	26/04/19	25/04/19
	Corporate Directors Appointed	G	01/05/19	01/05/19

Next Steps

- Set-up follow-on consultation feedback sessions as required (Ongoing)
- Document alternative structure proposals (e.g. Business Support, Economy and Environment and ICT)
- Set-up Selection panel for Tranche 1a (Corp Dir) interviews
- Plan and communicate Drop In sessions for DCP and DCC (Purbeck and CED will offer 1:1)
- Create contextual statements for non-aligned Job Descriptions vs framework

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	R S	Mitigation Plan	Owner	Date Due
257	Leon Ainsworth	22/11/2018	Delays to consultation due to the speed of delivery and the level of engagement in the design stage	The timelines available to deliver the Transitional Structures workstream have not allowed for in-depth validation and engagement of conceptual structures. A deep dive of the business for any robust analysis has not taken place.	3	4	12	08/03: HR & Assets & Property alternative proposals have been received and will be uploaded as alternative proposals for feedback. Further group feedback sessions are being encouraged and we are proactively tracking progress. Two group feedback sessions were held on the 05/03. e.g. Waste and HR Part II.	Leon Ainsworth	25/04/19
277	Leon Ainsworth	31/01/2019	Consultation queries that have been sent into the SDC Consultation mailbox cannot be answered in timely manner.	Frustration and credibility concerns as individuals are unable to understand elements of the proposed structure. Leading to escalations within senior management.	3	3	9	08/03: Consultation queries are stabilizing with on average 40 being logged and 70 being answered on a weekly basis. A total of 381 queries closed with 155 still open. The team continues to make good progress.	Leon Ainsworth	25/04/19

Shadow Dorset Council

Date of Meeting	25 March 2019
Lead Member	Cllr Spencer Flower – Chairman, Governance Working Group
Officer	David Fairbairn – Solicitor to the Council, Purbeck District Council
Subject of Report	Adoption of Overarching Enforcement Policy
Executive Summary	<p>The report proposes a draft overarching enforcement policy so that decisions to take enforcement action are taken in a fair, transparent and consistent manner. Where the enforcement action is one of those regulated by the Legislative and Regulatory Reform Act 2006, the policy will assist the Council to comply with the requirements of the Act and the statutory Regulators’ Code 2014.</p> <p>Individual service areas will adopt service specific policies which are consistent with the framework provided by the overarching policy.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>Yes. There are no equalities implications arising from this report.</p>
	<p>Use of Evidence:</p> <p>This report has been written in consultation with other legal officers and the relevant project manager.</p>
	<p>Budget:</p> <p>There are no budget implications</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: POSSIBLE Residual Risk UNLIKELY</p>
	<p>Other Implications:</p>

	Failure to have an enforcement policy could potentially result in allegations of abuse of process being made, which if successful would result in legal proceedings being dismissed. The absence of an enforcement policy may also result in an inconsistent approach being taken with regard to enforcement action. Either or both of these could result in significant reputational damage to the Council and result in non-compliance with the Legislative and Regulatory Reform Act 2006 and/or the Regulators' Code where applicable.
Recommendation	That the Shadow Executive Committee: 1. Adopts the draft overarching enforcement policy attached as Appendix 1;
Reason for Recommendation	The adoption and compliance with the draft policy will meet the requirements of the Legislative and Regulatory Reform Act 2006 and the Regulators Code 2014 to which Regulators whose functions are specified by order under section 24(2) of the Act must have regard when developing policies and operational procedures that guide their regulatory activities.
Appendices	Appendix 1 – Draft overarching enforcement policy
Background Papers	None
Officer Contact	Name: David Fairbairn, Solicitor to the Council, Purbeck District Council Tel: 01929 557223 Email: davidfairbairn@purbeck-dc.gov.uk
Date agreed by Lead Member	March 2019
Date agreed by Statutory Officers	

1. Introduction

- 1.1 Dorset Council has a number of statutory responsibilities for: monitoring compliance with legal requirements affecting people, the places where they live and work, and the natural environment; and taking enforcement action where individuals or businesses fail to meet their legal obligations.
- 1.2 Failure by an individual or a business to meet their legal obligations can be the result of ignorance or of a deliberate act or omission. Some failures have a very limited impact, while others may impact upon many people. The consequences of a breach may be serious or not so serious. In between these extremes, the permutations are incalculable. Potentially, no two decisions on enforcement action are the same.
- 1.3 The rationale for adopting an overarching policy is to introduce a framework for making decisions so that such decisions are consistent, transparent, and fair so capable of being objectively justified. Failure to make decisions that are consistent

and fair may result in legal proceedings being dismissed as an abuse of process or being judicially reviewed.

2. The draft policy

- 2.1 The draft policy (Appendix 1) sets out the approach and the broad principles that the Council will apply in exercising its general enforcement powers. It does not set out the legal requirements for taking specific types of enforcement action nor the procedures to be followed, but leaves those to more specific individual service area policies.
- 2.2 Insofar as the Council's enforcement powers are regulated by the Legislative and Regulatory Reform Act 2006, the draft policy reflects the principles set out in section 21 of the Act namely that:
 - a) regulatory activities should be carried out in a way which is transparent, accountable, proportionate and consistent; and
 - b) regulatory activities should be targeted only at cases in which action is needed.
- 2.3 Again insofar as the Council's enforcement powers are regulated by the Act, the draft policy meets the requirements of the Regulators' Code 2014 to which regard must be had in exercising such enforcement powers.

This page is intentionally left blank

General Statement of Enforcement Policy

1.0 Introduction

This General Statement of Enforcement Policy is at the core of Dorset Council's commitment to the provision of excellent services and the adoption of best practice. It sets out common principles that the Council will follow when taking enforcement action so that the Council's approach is consistent, transparent, accountable, proportionate and targeted.

In formulating this policy regard has been had to relevant legislation and codes, including the Legislative and Regulatory Reform Act 2006 and the Regulator's Code.

This policy applies to all enforcement action undertaken by or on behalf the Council. Where considered appropriate, this overarching policy may be supplemented by additional enforcement policies and procedures produced by individual service areas.

2.0 What is Enforcement?

The Council has a wide range of powers and responsibilities for ensuring that legal requirements are met. These include Planning; Building Control; Environmental Health; Anti-social Behaviour; Trading Standards; Waste; Community Care; Licensing; and Children and Young People's services.

The Council recognises that most people want to abide by the law. It will assist and advise where this is considered possible and appropriate, but will consider taking enforcement action against those who disregard legal requirements or act irresponsibly. However, enforcement action does not always have to mean taking formal action, such as prosecution, but includes the following outcomes:

- Deciding to take no further action;
- Compliance advice;
- Formal Warning;
- Statutory Notice;
- Simple Caution;
- Prosecution;
- Works in default;
- Injunction;
- Order e.g. Anti-Social Behaviour or Management Orders; and/or
- Other formal action e.g. seizure, recovery action, suspension or revocation of licences or permissions.

3.0 The Council's Approach

3.1 Standards

Where the Council has published service standards for individual service areas, enforcement action will normally be taken in accordance with that relevant service standard unless specific circumstances have been identified that justify a departure from that standard.

3.2 Openness

So far as it is appropriate to do so, the Council will be open about how it will undertake its responsibilities and explain in a timely manner when it is necessary to take enforcement action.

3.3 Helpfulness

The Council believes that prevention is better than cure and will often work to advise and assist on compliance with the law. Council officers will be courteous and efficient and where appropriate will identify themselves by name and show identification.

In a number of cases the law provides a right of appeal against various types of enforcement action. In cases where legislation requires it, the Council will seek to ensure that relevant details of the appeal mechanism are clearly set out in writing.

3.4 A Balanced Approach

In assessing enforcement action, the Council will aim to adopt a proportionate approach to the problem.

3.5 Consistency

The Council will carry out its duties in a fair and consistent way.

3.6 Liaison with other agencies

Where the Council and another enforcement agency each have powers of enforcement (e.g with the Environment Agency, Fire and Rescue Service), the Council will liaise with the other agency to ensure effective co-ordination to avoid inconsistencies and to ensure that the most appropriate action is taken to resolve any breach.

3.7 Compliance with the law

The Council will ensure that enforcement action takes place in accordance with the Police and Criminal Evidence Act 1984; the Criminal Procedure and Investigations Act 1996; the Human Rights Act 1998; the Regulation of Investigatory Powers Act 2000 and other relevant legislation, statutory guidance or code of practice.

3.8 Trained and competent officers

The Council will ensure that its officers who take enforcement action are appropriately authorised to do so, competent, suitably qualified and trained.

3.9 Own merits

Every case is unique however and will be considered on its own merits. However, when making decisions whether to prosecute or not the Council take into account the advice set out in the Director of Public Prosecution's Code for Crown Prosecutors on the need for the evidential and public interest tests to be met.

4.0 Assistance from the Public or other Organisations

Assistance of others is often crucial to the success of enforcement action by the Council. Where information is given to assist the Council's enforcement, the Council will treat such information with confidence. However, if formal action is taken, information that has been provided may be required to be disclosed and made public by law.

5.0 Equality and Diversity

When making enforcement decisions, the Council will ensure that there is no discrimination against any individual on the grounds of age, race, ethnic or national origin, nationality, religion and belief, gender, marital status, employment status, disability, sexual orientation, social class, responsibility for children or dependents, trade union membership, unrelated criminal convictions or any ground that cannot be justified.

6.0 Complaints

All complaints will be dealt with in accordance with the Council's Complaints procedure, but having regard to any on-going legal processes.

7.0 Review

This policy will be reviewed as necessary to ensure that it is fit for purpose.

8.0 Further Information

Further information regarding service specific enforcement policies and procedures can be obtained from individual service areas or from the Council's website.

This page is intentionally left blank

Shadow Dorset Council

Date of Meeting	25 March 2019
Lead Member	Cllr Spencer Flower, Lead Member for Governance
Officer	Jonathan Mair, Corporate Director, Legal and Democratic Services
Subject of Report	Proposed 2019-20 Internal Audit Plan and Internal Audit Charter
Executive Summary	<p>Internal audit provides an independent and objective opinion on an Authorities' risk management, governance, and control environment by evaluating its effectiveness.</p> <p>SWAP Internal Audit Services (SWAP) was appointed as the internal auditor to Dorset Council by the Shadow Executive Committee on 21 August 2018. Since then, officers from SWAP have been working with the new Council's senior management to put together a proposed plan of audit work (attached at Appendix 1), which the Shadow Executive Committee is asked to agree.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>An EqIA is not required</p>
	<p>Use of Evidence:</p> <p>The audit plan attached has been drafted with input from the Chief Executive Designate and members of the Senior Leadership Team.</p>
	<p>Budget:</p> <p>Implications covered in paper agreed by the Shadow Executive Committee on 21 August 2018.</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as:</p> <p>Current Risk: LOW Residual Risk LOW</p>

	<p>Other Implications:</p> <p>None</p>
Recommendation	Shadow Executive Committee adopt the Internal Audit plan attached at Appendix 1.
Reason for Recommendation	To ensure that the new Council maintains an effective internal audit provision.
Appendices	1. Proposed 2019-20 Internal Audit Plan and Internal Audit Charter
Background Papers	Appointment of Internal Auditors – 21 August 2018
Officer Contact	<p>Name: Rupert Bamberger, Assistant Director, SWAP</p> <p>Tel: 07720 312464</p> <p>Email: rupert.bamberger@swapaudit.co.uk</p>
Date agreed by Lead Member	15 March 2019
Date agreed by Statutory Officers	11 March 2019

Dorset Council

Proposed 2019-20 Internal Audit Plan and Internal Audit Charter

Page 57

The Internal Audit Plan: Summary

This internal audit plan represents a summary of the proposed audit coverage that the internal audit team will deliver within the first half of the 2019/20 financial year

Delivery of an internal audit programme of work that provides sufficient and appropriate coverage, will enable SWAP to provide a well-informed and comprehensive year-end annual internal audit opinion.



Introduction and Objective of the Internal Audit Plan

Internal audit provides an independent and objective opinion on the Authority's risk management, governance, and control environment by evaluating its effectiveness.

Prior to the start of each financial year, SWAP, in conjunction with senior management, put together a proposed plan of audit work. The objective of our planning process and subsequent plans is to put us in a position to provide a well-informed and comprehensive annual audit opinion, based on sufficient and appropriate coverage of key business objectives, associated risks, and risk management processes.

The outcomes of each of the audits in our planned programme of work, will provide officers and Members with assurance that the current risks faced by the Authority in these areas are adequately controlled and managed.

It should be noted that internal audit is only one source of assurance, and the outcomes of internal audit reviews should be considered alongside other sources, as part of the 'three lines of defence' assurance model. Key findings from our internal audit work should also be considered in conjunction with completion of the Authority's Annual Governance Statement.

It is the responsibility of the Authority's Senior Leadership Team (SLT), and the Shadow Executive Committee (in the absence of an Audit Committee for Dorset Council), to determine that the audit coverage contained within the proposed audit plan is sufficient and appropriate in providing independent assurance against the key risks faced by the organisation.

When reviewing the proposed internal audit plan (as set out in Appendix 1), key questions to consider include:

- Are the areas selected for coverage this coming quarter appropriate?
- Does the internal audit plan provide coverage of the organisation's key risks as they are recognised by SLT and the Shadow Executive Committee?
- Is sufficient assurance being received within our annual plan to monitor the organisation's risk profile effectively?

The Internal Audit Plan: Approach

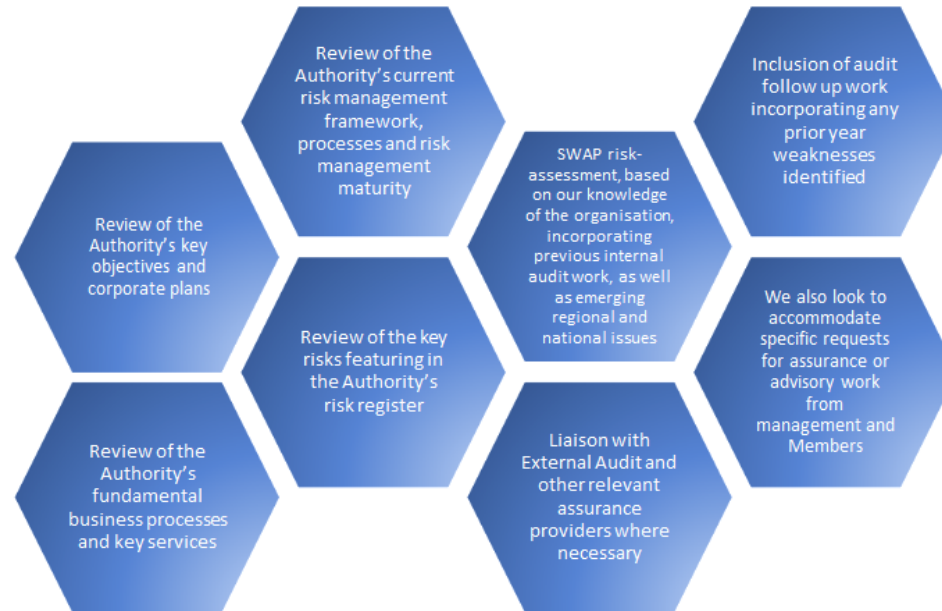
To develop an appropriate risk-based audit plan, SWAP have consulted with members of the Dorset Council Senior Leadership Team, as well as reviewing the consolidated risk register for Dorset Council, in order to obtain an understanding of the organisation's key risks, and initial assurance priorities.

The audit planning process for 2019/20 will be a unique year in that the new Dorset Council will develop and emerge as the year progresses. We will therefore update our internal audit plans quarterly to align with the emerging issues and risks.



Approach to Internal Audit Planning 2019/20

The factors considered in putting together the initial 2019/20 internal audit plan have been set out below:



Due to the pace with which Dorset Council has been created, as well as the fact that the organisation's corporate objectives are yet to be finalised, it is difficult to accurately predict and align internal audit work with longer-term key organisational risks. Our approach to internal audit planning for 2019/20 has therefore also changed to reflect this. Instead of preparing a full twelve-month plan, we will prepare and update quarterly 'Agile', risk-assessed work plans, containing key areas of coverage, to ensure that we are auditing the right areas at the right time.

We will regularly re-visit and adjust our programme of audit work to ensure that it matches the changing risk profile of the organisation's operations, systems and controls. Our 2019/20 audit plan will also include an increased proportion of audit time still to be specifically allocated, in order that the plan can remain flexible to respond to new and emerging risks as and when they are identified.

The Internal Audit Plan: Risk Assessment

A documented risk assessment prior to developing an internal audit plan, ensures that sufficient and appropriate areas are identified for consideration.

As above, it is the responsibility of the Authority's Senior Leadership Team, and the Shadow Executive (*in the interim*) to ensure that, following our risk assessment, the proposed plan contains sufficient and appropriate coverage.



Internal Audit Annual Risk Assessment

Our 2019/20 internal audit programme of work is based on a documented risk assessment, which SWAP will revisit at least quarterly. The input of senior management as well as review of the Authority's risk register will be considered in this process.

Below we have set out a summary of the outcomes of our initial risk assessment for the new Dorset Council:



The Internal Audit Plan: Coverage

Following our SWAP Risk Assessment above, we have set out in Appendix 1 below our proposed areas of coverage for the first quarter.

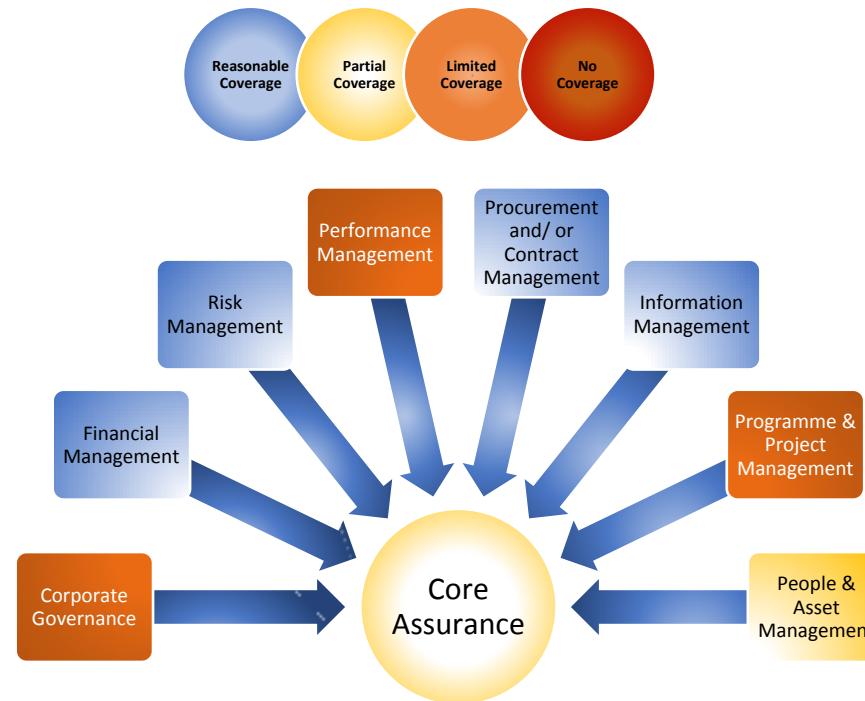
Going forwards, we will look to align our audit programme of work with the new Authority's Corporate objectives, as well as our core areas of recommended coverage.

Internal audit is only one source of assurance; therefore, where we highlight gaps in our coverage, assurance should be sought from other sources where possible in order to ensure sufficient and appropriate assurances are received.



Internal Audit Coverage in 2019/20

Following our SWAP risk assessment, we have set out below the extent to which the proposed plan presented in Appendix 1 provides coverage of our core areas of recommended coverage. Where we have highlighted limited or no coverage, Senior Management and Members should seek and document assurance from alternative sources, or consider re-focussing internal audit resource to provide coverage of these areas:



Internal audit coverage can never be absolute and responsibility for risk management, governance and internal control arrangements will always remain fully with management. As such, internal audit cannot provide complete assurance over any area, and equally cannot provide any guarantee against material errors, loss or fraud.

The Internal Audit Plan: SWAP

SWAP Internal Audit Services is a public sector, not-for-profit partnership, owned by the public sector partners that it serves. The SWAP Partnership now includes 26 public sector partners, crossing eight Counties, but also providing services throughout the UK.

As a company, SWAP has adopted the following values, which we ask our clients to assess us against following every piece of work that we do:

- Candid
- Relevant
- Inclusive
- Innovative
- Dedicated



Your Internal Audit Service

Audit Resources

The 2019/20 internal audit programme of annual work will be equivalent to 1,900 days. The current internal audit resources available represent a sufficient and appropriate mix of seniority and skill to be effectively deployed to deliver the planned work. The key contacts in respect of your internal audit service for Dorset Council will be:

Rupert Bamberger, Assistant Director – rupert.bamberger@swapaudit.co.uk, 07720 312464

Sally White, Principal Auditor – sally.white@swapaudit.co.uk, 01305 224488

Conformance with Public Sector Internal Audit Standards

SWAP work is completed to comply with the International Professional Practices Framework of the Institute of Internal Auditors, further guided by interpretation provided by the Public Sector Internal Audit Standards (PSIAS) and the CIPFA Local Government Application Note.

Every three years, SWAP is subject to an External Quality Assessment of Internal Audit Activity. The last of these was carried out in March 2016 which confirmed conformance with the Public Sector Internal Audit Standards.

Conflicts of Interest

We are not aware of any conflicts of interest within Dorset Council that would present an impairment to our independence or objectivity. Furthermore, we are satisfied that we will conform with our IIA Code of Ethics in relation to Integrity, Objectivity, Confidentiality, & Competency.

Consultancy Engagements

As part of our internal audit service, we may accept proposed consultancy engagements, based on the engagement's potential to improve management of risk, add value and improve the organisation's operations. Consultancy work that is accepted, will contribute to our annual opinion and will be included in our plan of work.

Approach to Fraud

Internal audit may assess the adequacy of the arrangements to prevent and detect irregularities, fraud and corruption. We have dedicated counter fraud resource available to undertake specific investigations if required. However, the primary responsibility for preventing and detecting corruption, fraud and irregularities rests with management who should institute adequate systems of internal control, including clear objectives, segregation of duties and proper authorisation procedures.

The Internal Audit Plan: SWAP

Over and above our internal audit service delivery, SWAP will look to add value throughout the year wherever possible. This will include:

- Benchmarking and sharing of best-practice between our public-sector Partners
- Regular newsletters and bulletins containing emerging issues and risks
- Communication of fraud alerts received both regionally and nationally
- Annual Member training sessions

Our Reporting

A summary of internal audit activity will be reported quarterly to the Senior Leadership Team and the Audit Committee (*once established*). This reporting will include any significant risk and control issues (including fraud risks), governance issues and other matters that require the attention of senior management and/or the Audit Committee. We will also report any response from management to a risk we have highlighted that, in our view, may be unacceptable to the organisation.

Internal Audit Performance:

As part of our regular reporting to senior management and the Audit Committee, we will report on internal audit performance. The following performance targets will be used to measure the performance of our audit activity:

Performance Measure	Performance Target
<p style="text-align: center;"><u>Delivery of Annual Internal Audit Plan</u> Completed at Year End</p>	>90%
<p style="text-align: center;"><u>Quality of Audit Work</u> Overall Client Satisfaction <i>(did our audit work meet or exceed expectations, when looking at our Communication, Auditor Professionalism and Competence, and Value to the Organisation)</i></p>	>95%
<p style="text-align: center;"><u>Outcomes from Audit Work</u> Value to the Organisation <i>(client view of whether our audit work met or exceeded expectations, in terms of value to their area)</i></p>	>95%

As detailed above there is a need to ensure that for the first year of the new Dorset Council that the internal audit plan is able to flex sufficiently to provide coverage of emerging risks and urgent assurance work. In order to achieve this, we have provided an outline Quarter 1 & 2 plan, with subsequent quarter's plans being prepared in consultation with SLT. Audit work required later in the year that has already been identified has been included in a separate Appendix for completeness, however the quarter of the year when this work will fall due has been made clear. It should be noted that the audit titles and high-level scopes included below are only indicative at this stage for planning our resources. At the start of each audit, an initial discussion will be held to agree the specific terms of reference for the piece of work, which includes the objective and scope for the review.

Page 64

Link to Core Assurance Area	Areas of Coverage and Brief Rationale	Audit Sponsor/ Senior Management Lead
<p>Corporate Governance <i>Corporate Governance refers to the strategic management practices and values and beliefs by which the Council operates.</i></p>	<p>Election Readiness <i>To provide assurance that processes are in place to ensure the successful delivery of the May elections including the reduction down to a single count venue across a number of days.</i></p> <p>Induction and Training of elected members <i>To provide assurance that the plan of induction and training will ensure appropriate development of skill and knowledge for members of the new Dorset Council.</i></p> <p>Closure of sovereign Councils <i>An allocation of time to undertake specific requested pieces of work as appropriate in connection with the final closure of the six sovereign Councils.</i></p>	<p>Jonathan Mair <i>Corporate Director for Legal and Democratic Services</i></p>
<p>Financial Management <i>Effective Financial Management is the bedrock of any successful organisation and is vital to the ongoing ability of local authorities to deliver services that the public wants.</i></p>	<p><i>As systems, processes and procedures are brought together across the course of the year we would want to provide regular core assurance around 'key' financial controls. We would therefore propose to introduce a process of continuous auditing where we would sample transactions across key financial systems to provide regular assurance that control continues to be sound and operating effectively:</i></p> <p>Continuous Audit of Financial Systems: <i>Main Accounting and Bank Reconciliation Creditors/Electronic ordering systems/BACS payments Debtors and debt management Income and Cash receipting Payroll and expenses (if there are plans to consolidate systems)</i></p>	<p>Aidan Dunn <i>Executive Director Corporate Development</i></p>

	<p>Budgetary Control and Monitoring <i>Until structures are fully agreed and implemented there is a risk of lack of accountability with regard to budgetary control and monitoring. This piece of audit work aims to highlight any issues and problems arising early on within the new Council.</i></p> <p>Capital Programme <i>An end to end review of processes pertaining to the capital programme including the role undertaken by the Capital Planning Group.</i></p> <p>Capital Budget <i>A review of the make-up of the capital budget including whether any revenue costs are funded within the capital budget.</i></p> <p>Adult Services – Financial Assessments <i>To provide assurance that financial assessments are accurate and undertaken in a timely manner.</i></p> <p>Adult Services - Deputyship for Service Users <i>Where the Court of Protection has appointed the Council to act on behalf of Service Users to provide assurance that processes and procedures are operating with appropriate control to adequately protect the Service Users interests.</i></p> <p>Duplicate Payment work <i>Use of data analytics software to identify potential duplicate payments for investigation by Accounts Payable staff</i></p> <p>National Fraud Initiative <i>To assist the Council to monitor investigation of matches.</i></p>	
<p>Risk Management <i>Organisations which can demonstrate and operate under a structured and active risk management approach, are far more likely to be able to focus upon their key priorities and outcomes and, in doing so, take informed and robust decisions</i></p>	<p>Risk Management <i>A review of risk management arrangements becoming embedded across the new Council</i></p>	<p>Jonathan Mair <i>Corporate Director for Legal and Democratic Services</i></p>

<p>Performance Management <i>Performance management provides a transparent platform upon which the service is accountable to its citizens and service users for the effectiveness of its service provision and delivery of its objectives.</i></p>	<p>Follow up work <i>An allocation of time to ensure that key audit recommendations made during the last year of the sovereign council's existence have adequately transferred to the new Council and have been or will be actioned.</i></p> <p>Licencing Compliance <i>To provide assurance that there is compliance with licencing requirements</i></p> <p>Effectiveness of Social Care Practice <i>A review of the process of case file audits and the measurement of the impact of these on improvement in social care practice.</i></p> <p>Children's Social Care Caseload Management <i>Following the investment of £1M in 2017-18 to recruit additional Social Workers with the aim of reducing caseloads; to evaluate the success of this initiative and the mechanisms in place to ensure caseloads remain at manageable levels.</i></p> <p>Readiness for Ofsted Inspection <i>To provide assurance on the effectiveness of targeted Ofsted preparation work.</i></p> <p>Public Law Outline <i>A review to assess whether effective use is made of the pre-proceedings Contract of Expectations with Parents and its impact on preventing children from entering full care proceedings.</i></p> <p>Effectiveness and Implementation of Education Health Care Plans (EHCPs) <i>To provide assurance around compliance with EHCPs in schools</i></p> <p>School Audits <i>Based on intelligence from Children's Services to undertake school audits on specific areas of concern as and when required (either as thematic school audits, or individual specific schools)</i></p>	<p>Various</p> <p>Jonathan Mair <i>Corporate Director for Legal and Democratic Services</i></p> <p>Sarah Parker <i>Executive Director for People – Children's</i></p>
<p>Commissioning & Procurement <i>Assessing Procurement & Commissioning activity of a Local</i></p>	<p>Contract Compliance <i>A review of contract compliance including elements such as value for money (VFM), aggregate spend, contract novation and disaggregation of contracts and whether all of these elements are operating effectively across the new Council within the procurement life-cycle.</i></p>	<p>Aidan Dunn <i>Executive Director Corporate Development</i></p>

<p><i>Authority is a critical determinant in establishing its effectiveness in both being able to deliver benefit for its community, but also in showing whether it can maximise value for money for its taxpayers</i></p>	<p>Commercial Contract Management <i>To provide assurance that effective commercial contract management is in place and operational across the new Council.</i></p> <p>Compliance with IR35 <i>To provide assurance that there is compliance with IR35 regulations.</i></p> <p>Property Maintenance <i>A review of the new arrangements with a specific review of governance arrangements and the effectiveness in delivering improved services and reduced costs</i></p> <p>Fostering <i>To evaluate the success of using external contractors to increase the number of in-house foster carers considered imperative to the reduction in the numbers of expensive placements for looked after children.</i></p>	<p>John Sellgren <i>Executive Director for Place</i></p> <p>Sarah Parker <i>Executive Director for People – Children’s</i></p>
<p>Information Management <i>Effective Information Management will facilitate and support effective working, better decision-making, improved customer service and business transformation.</i></p>	<p>Disaggregation of records to BCP <i>To provide assurance on the disaggregation of records to BCP or fall-back positions if these have had to be implemented.</i></p> <p>Service Continuity <i>To provide assurance on a joined-up customer journey across a number of service areas that have regular contact with the public/businesses such as Environmental Health, Trading Standards, Licencing and other standalone services such as parking etc; using a variety of methods of testing the journey including mystery shopping.</i></p> <p>GDPR compliance <i>To provide assurance around the level of compliance with GDPR</i></p> <p><i>As ICT systems, processes and procedures are brought together across the course of the year we would want to provide regular core assurance around ‘key’ ICT controls, we would therefore propose to introduce a process of continuous auditing where we would test across key ICT functions to provide regular assurance that control continues to be sound and operating effectively:</i></p>	<p>Whole SLT</p> <p>John Sellgren <i>Executive Director for Place</i></p> <p>Jonathan Mair <i>Corporate Director for Legal and Democratic Services</i></p>

	<p>Continuous Audit of ICT Systems including: <i>Password control</i> <i>User Access Controls</i> <i>Firewall Management</i> <i>Disaster recovery</i> <i>Vulnerability and threat</i></p>	<p>Aidan Dunn <i>Executive Director</i> <i>Corporate Development</i></p>
<p>Programme & Project Management <i>Organisations which can demonstrate and operate under a structured and active approach are far more likely to be able to focus their efforts and successfully achieve the delivery of anticipated outcomes.</i></p>	<p>Programme Management – Children’s Services <i>A review of the effectiveness of programme management within Children’s Services</i></p>	<p>Sarah Parker <i>Executive Director for People – Children’s</i></p>
<p>People & Asset Management <i>Organisations which can demonstrate and operate under a structured and active approach to asset management are far more likely to be able to focus any available investment against key priorities and, as a direct result, deliver improved outcomes.</i></p>	<p>Communication with staff <i>An assessment of the effectiveness and impact of communications with staff</i></p> <p>Property Asset Management <i>A review of the procedures around the management of property and other assets</i></p>	<p>Matt Prosser <i>Chief Executive</i></p> <p>John Sellgren <i>Executive Director for Place</i></p>
<p>Other</p>	<p>Reactive Fraud Investigations</p> <p>Grant Certifications</p> <p>Contingency for Emerging Risk Areas and Specific Management Requests</p> <p>Ad Hoc Requests for Audit Advice & Guidance</p> <p>Audit Planning and Committee Reporting</p>	<p>Whole SLT</p>

The Internal Audit Charter

Purpose

The purpose of this Charter is to set out the nature, role, responsibility, status and authority of internal auditing within Dorset Council, and to outline the scope of internal audit work.

Approval

This Charter will be presented for review and approval each year to confirm it remains accurate and up to date.

Provision of Internal Audit Services

The internal audit service is provided by SWAP Internal Audit Services (SWAP). SWAP is a Local Authority controlled company. This charter should be read in conjunction with the Service Agreement, which forms part of the legal agreement between the SWAP partners.

The budget for the provision of the internal audit service is determined by the Council, in conjunction with the Members Meeting. The general financial provisions are laid down in the legal agreement, including the level of financial contribution by the Council, and may only be amended by unanimous agreement of the Members Meeting. The budget is based on an audit needs assessment that was carried out when determining the Council's level of contribution to SWAP. This is reviewed each year by the Head of Internal Audit and Section 151 Officer, in consultation with the Chief Executive of SWAP.

Role of Internal Audit

The Accounts and Audit (England) Regulations 2015, state that: *"A relevant authority must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account the public sector internal auditing standards or guidance."*

Internal audit is an independent, objective assurance and consulting activity designed to add value and improve the Council's operations. It helps the Council accomplish its objectives by bringing a systematic disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

Responsibilities of Management and of Internal Audit

Management¹

Management is responsible for agreeing the scope, except where specified by statute, of internal audit work and for deciding the action to be taken on the outcome of, or findings from, their work. Management is responsible for ensuring SWAP has:

- the support of management and the Council; and
- direct access and freedom to report to senior management, including the Council's Chief Executive and the Audit Committee.

Management is responsible for maintaining internal controls, including proper accounting records and other management information suitable for running the Authority. Management is also responsible for the appropriate and effective management of risk.

Internal Audit

Internal audit is responsible for operating under the policies established by management in line with best practice.

¹ In this instance Management refers to the Senior Leadership Team

Internal audit is responsible for conducting its work in accordance with the Code of Ethics and Standards for the Professional Practice of Internal Auditing as set by the Institute of Internal Auditors and further guided by interpretation provided by the Public Sector Internal Audit Standards (PSIAS); SWAP has been independently assessed and found to be in Conformance with the Standards.

Internal audit is not responsible for any of the activities which it audits. SWAP staff will not assume responsibility for the design, installation, operation or control of any procedures. Members of SWAP who have transferred in to the department from other areas in Dorset Council (or previous Dorset Authorities) will not be asked to review any aspects of their previous department's work until one year has passed since they left that area.

Relationship with the External Auditors/Other Regulatory Bodies

Internal Audit will co-ordinate its work with others wherever this is beneficial to the organisation.

Status of Internal Audit in the Organisation

The Chief Executive of SWAP is responsible to the SWAP Board of Directors and the Members Meeting. The Chief Executive of SWAP and the Assistant Director also report to the Head of Internal Audit, Corporate Director – Legal and Democratic (as well as s151 Officer), and will report to the Audit Committee as set out below.

Appointment or removal of the Chief Executive of SWAP is the sole responsibility of the Members Meeting.

Scope and authority of Internal Audit work

There are no restrictions placed upon the scope of internal audit's work. SWAP staff engaged on internal audit work are entitled to receive and have access to whatever information or explanations they consider necessary to fulfil their responsibilities to senior management. In this regard, internal audit may have access to any records, personnel or physical property of Dorset Council.

Internal audit work will normally include, but is not restricted to:

- reviewing the reliability and integrity of financial and operating information and the means used to identify, measure, classify and report such information;
- evaluating and appraising the risks associated with areas under review and make proposals for improving the management of risks;
- appraise the effectiveness and reliability of the enterprise risk management framework and recommend improvements where necessary;
- assist management and Members to identify risks and controls with regard to the objectives of the Council and its services;

- reviewing the systems established by management to ensure compliance with those policies, plans, procedures, laws and regulations which could have a significant impact on operations and reports, and determining whether Dorset Council is in compliance;

- reviewing the means of safeguarding assets and, as appropriate, verifying the existence of assets;

- appraising the economy, efficiency and effectiveness with which resources are employed;

- reviewing operations or programmes to ascertain whether results are consistent with established objectives and goals and whether the operations or programmes are being carried out as planned.

- reviewing the operations of the council in support of the Council's anti-fraud and corruption policy.

- at the specific request of management, internal audit may provide consultancy services provided:

- the internal auditor's independence is not compromised
- the internal audit service has the necessary skills to carry out the assignment, or can obtain such skills without undue cost or delay
- the scope of the consultancy assignment is clearly defined, and management have made proper provision for resources within the annual audit plan
- management understand that the work being undertaken is not internal audit work.

Planning and Reporting

SWAP will submit to the Shadow Executive Committee (or Audit Committee once created), for approval, an internal audit plan, setting out the recommended scope of their work in the period.

The plan will be developed with reference to the risks the organisation will be facing in the forthcoming year, whilst providing a balance of current and on-going risks, reviewed on a cyclical basis. The plan will be reviewed on a quarterly basis to ensure it remains adequately resourced, current and addresses new and emerging risks.

SWAP will carry out the work as agreed, report the outcome and findings, and will make recommendations on the action to be taken as a result to the appropriate manager and Corporate/ Executive Director. SWAP will report at least four times a year to the Senior Leadership Team and Audit Committee. SWAP will also report a summary of their findings, including any persistent and outstanding issues, to the Audit Committee on a regular basis.

Internal audit reports will normally be by means of a brief presentation to the relevant manager accompanied by a detailed report in writing. The detailed report will be copied to the relevant line management, who will already have been made fully aware of the detail and whose co-operation in preparing the summary report will have been sought. The final detailed report will also be copied to the Head of Internal Audit, Corporate Director – Legal and Democratic, Section 151 Officer, and to other relevant line management.

The Chief Executive of SWAP will submit an annual report to the Audit Committee providing an overall opinion of the status of risk and internal control within the council, based on the internal audit work conducted during the previous year.

In addition to the reporting lines outlined above, the Chief Executive of SWAP and the Assistant Director have the unreserved right to report directly to the Leader of the Council, the Chairman of the Audit Committee, the Council's Chief Executive Officer or the External Audit Manager.

March 2019

This page is intentionally left blank

Shadow Dorset Council

Date of Meeting	25 March 2019
Shadow Executive Lead Member/s	Cllr Andrew Parry, Lead Member for Archives
Subject of Report	Dorset History Centre – Capital Project Update
Recommendation	<p>At its meeting on 1 March 2019 the Joint Archives Advisory Board (JAAB) considered a report on the Dorset History Centre Capital Project Update.</p> <p>As a result of the discussion, the JAAB recommended ‘that as a matter of urgency after 1 April 2019, an approach be made to both Bournemouth, Christchurch and Poole and Dorset Councils’ Executives for their support for this capital project, bearing in mind the urgent need for additional space’.</p> <p>The Shadow Executive Committee is invited to consider this recommendation.</p>
Appendixes/background documents	<ol style="list-style-type: none"> 1. Extract of the minutes of the Joint Archives Advisory Board held on 1 March 2019 2. Dorset History Centre-Capital Project Update (report to the Joint Archives Advisory Board 24 January 2019)

This page is intentionally left blank

Shadow Executive

Extract from minutes of the meeting of the Joint Archives Advisory Board
held on 1 March 2019

Dorset History Centre - Capital Project Update

- 6 The Board considered a report by the Transformation Programme Lead for the Adult and Community Forward Together Programme, Dorset County Council, which provided an update on the Dorset History Centre capital project. It also provided indicative revenue costs for external storage space, should the capital project not proceed.

The County Archivist presented the report highlighting the key points within the report and provided an update where the reported situation had changed.

Members noted that although it was reported that there was sufficient space for archive expansion for the next 2-3 years, the addition of the Bournemouth Echo archives would mean that additional space would be needed within 12 months. This highlighted the urgent need for the capital project to go ahead.

The feasibility report on the Capital Project had been completed and the current estimated cost was £3.1m with a funding gap of £919k. However, since the reorganisation of the regional structure of National Lottery Heritage Funding, the amount of potential available funding had increased, with the potential for the funding gap to reduce to £620k. Discussions with members of the Shadow Dorset Council were ongoing as to whether the capital project should proceed on this basis.

It was explained that Poole Museum were also likely to re-submit an application for National Lottery Heritage Funding. Members were told that it was unlikely that two bids from the same area would be successful should bids be submitted at the same time. Officers were to discuss the timing of submissions and the best way forward.

With regard to future capital project funding, it was noted that although Dorset Council had included an allocation in the budget for the next financial year, Bournemouth, Christchurch and Poole Council had not indicated any future allocation. County Council officers were to meet with leading Shadow Dorset Council members the following week to discuss capital funding before taking any further action.

Members recognised the need for action to be taken whether this was in support of the capital project or to find other means of storage. They were concerned at the possible loss of records during the transition period and that space would need to be found to store these. They recognised the limited time available to address these issues and the urgent need to secure support for the capital project from both Dorset Council and Bournemouth, Christchurch and Poole Councils.

With regard to the options set out in the report, officers recommended the support of Option 1 - the submission of a second application to the Heritage Lottery Fund in first half of 2019 rather than seeking commercial out-storage (Option 2). Given the concern expressed by members it was:-

Resolved

That Option 1 be supported as the best value, long-term solution for the Joint Archives Service storage requirements.

Recommended

That as a matter of urgency after 1 April 2019, an approach be made to both Bournemouth, Christchurch and Poole and Dorset Councils' Executives for their support for this capital project, bearing in mind the urgent need for additional space.

Joint Archives Advisory Board

Dorset County Council



Date of Meeting	24 January 2019
Officers	Transformation Programme Lead for the Adult and Community Forward Together Programme
Subject of Report	Dorset History Centre - capital project update
Executive Summary	<p>Dorset History Centre has approximately two years of available expansion space remaining. This report will update the Board since its last meeting on 6 June 2018 on work that has been undertaken by the Joint Archives Service (JAS) towards a new and costed solution to the requirement for additional storage provision for archives. This follows the rejection in December 2017 of the application made by the JAS to the Heritage Lottery Fund (HLF).</p> <p>At previous meetings in 2015 and 2016, the Board has supported the approach taken by the JAS in seeking external funding to increase the storage accommodation at DHC and has mandated the use of the service's financial reserve in order to achieve this.</p> <p>Since June, work on a feasibility report has completed. This will form a key part of the re-submission to HLF. The same key drivers operate as detailed at June's meeting:</p> <ul style="list-style-type: none">(i) The imperative to reduce cost such that another application can be made to HLF that has a strong chance of success.(ii) To ensure that the project provides sufficient expansion space to accommodate archives for an additional 20 years, ideally longer <p>This report will:</p> <ul style="list-style-type: none">(i) Offer a summary of actions taken to date;(ii) Provide a schedule of future actions and activity which will culminate in the successful delivery of a capital extension to DHC.
Impact Assessment:	<p>Equalities Impact Assessment (EIA):</p> <p>The JAS has completed a review of its 2011 EIA. The 2018 EIA</p>

	<p>was approved by the Adult and Community Services directorate equality and diversity working party in March.</p> <p>Areas for (acknowledged) further consideration include working with younger people and with black and ethnic minority groups and religious minorities.</p> <p>The employment of a Learning Officer October 2016 - March 2018 helped to address the first of these issues. The aspirations of the JAS in its 'Collecting in the Conurbation' project (part of the wider capital project) was intended to meet the other. Some of this work is being taken forward. The capital project will also help to meet JAS aspirations to work more with groups and with people with additional needs.</p>
	<p><u>Use of Evidence:</u> Application to HLF, August 2017. Report commissioned from Architype (architects), January 2018 Feasibility Report on Dorset History Centre, December 2018</p>
	<p><u>Budget Risk Assessment</u> In order to complete the project, it will be necessary to:</p> <ul style="list-style-type: none"> (i) Acknowledge potential failure: inability to deliver the project appears in the budget risk assessment area of the Service Plan and would require additional revenue funding. (ii) Ensure that match funding continues to be committed to the project, without which any application could not proceed. (iii) Fully understand the position of the Heritage Lottery Fund (HLF) which is due to publish its new strategic framework on 30 January 2019. (iv) Raise significant additional funding from a variety of sources. Failure to achieve this will mean that there will not be sufficient funding with which to progress the project.
	<p>It is recommended that the Board:</p> <ul style="list-style-type: none"> (i) Considers the contents of this report and the update on recent developments; (ii) Supports Option 1 as the best value, long-term solution for the JAS's storage requirements.
<p>Reason for Recommendation</p>	<p>To meet the reporting and decision-making requirements of the Joint Archives Agreement, 1997</p>
<p>Appendices</p>	<p>Externally provided archive storage or additional capital funding - cost/benefit analysis</p>
<p>Background Papers</p>	<p>Dorset History Centre Feasibility Report, 2018, Dorset History Centre, Options Appraisal, 2013, Reports to JAAB. www.hlf.org.uk</p>

Report Originator and Contact	Name: Sam Johnston, County Archivist Tel: 01305-228929 Email: s.johnston@dorsetcc.gov.uk
-------------------------------	--

1. Background and Introduction

- 1.1 Dorset History Centre (DHC), the home of the Joint Archives Service (JAS) was constructed in 1991 with an anticipated 25-year expansion space. After 28 years, the repositories are approaching capacity with around 2 years' remaining space for archives.
- 1.2 The volume of material held at capacity (c. 1200 cubic metres) will be approximately three times that quantity of material that was held when DHC first opened 25 years ago. By way of illustration, the capacity of DHC is c. 45,000 boxes and the service currently receives around 1000 boxes of new material annually.
- 1.3 The need to provide further, future storage has been identified as a service priority for at least seven years. The extension is intended to have no additional revenue implications for the funding councils (excepting business rates). Environmental efficiency measures would be built into the project with a primarily passive environmental management system. Failure to provide additional storage on-site would result in the need to revenue fund a remote storage solution. An options appraisal in 2013 selected a two-storey extension to the current building as the preferred option. Following discussion between the three funding councils at the Board it was agreed that an extension to the current building provided the lowest cost and best value for money solution. In the 2017 project proposal, the extension, if built, would provide 25-30 years' expansion space and would potentially provide space for all the remaining paper and parchment archives likely to be acquired by the service (as opposed to the on-going accessions of digital material). With the rejection by HLF of the application, (which they acknowledged was 'likely to deliver strong outcomes') it has been necessary to review the whole project - not for its rationale, which remains as strong as before - but in terms of its scope and cost.
- 1.3 It seems likely that the project is made up of at least two discrete elements which may be phased, depending on the most financially propitious means of achieving the agreed outcomes.

2. Requirement for Archive Accommodation

- 2.1 The need for additional accommodation for archives has not diminished. Without additional provision, the service will in due course have to cease acquiring archives and thereby preserving our written and recorded heritage. It would then fail to be accredited by The National Archives and the councils' ability to comply with General Data Protection Regulations would be impaired.
- 2.2 After considerable analysis of the available scenarios to provide additional space, it has been concluded that the best value option would be a two-storey extension over the car park to the rear of DHC. The option to use the DHC attic space as a repository was deemed by property professionals to be both too costly and to involve too many risks and uncertainties. The two-storey extension proposal would provide approximately 22,000 additional box spaces. Within this total, it would also allow for additional storage of over 2,500 box spaces for modern media (film, photographs and tape). It is felt that this offers the best value option and a means by which the service's accommodation needs will be met for at least two decades in a building with low running costs.
- 2.3 The only viable alternative to the extension proposal would be for the JAS to look to a third party specialist storage supplier to meet its future needs. At present, the only two such providers are located in Cheshire and Oxfordshire respectively. The likely cost

adopting this solution whilst low in the short term, would be up to £10 million over the 60 year (full-life equivalent) of the extension (see appendix).

- 2.4 The JAS commissioned a feasibility report from Dorset Property based on the preferred option. The recently completed report suggests that the total cost of the capital project (repository extension and refurbishment of public spaces) would be c. **£2.6 million**. This figure could be lower, depending on the profiling of spending over the Development and Delivery phases of the project. In addition, the further cost of the activity plan required by HLF would take the total project cost to c. **£3.1 million**.

3. Project Funding

- 3.1 At present, there are a number of uncertainties and unknowns associated with the funding of the DHC capital project. The position of the HLF itself is still not known; after a lengthy period of consultation, it will publish its new approach to funding in late January 2019. The indications are that whilst there will be changes of emphasis, there will be no radical departures from the Fund's current priorities. The second principal uncertainty for the project is Dorset's transition to two unitary councils through Local Government Reorganisation (LGR). Clearly, the new councils will have a huge array of changes to implement and it is impossible to say at this stage what the financial position will be or what priorities Dorset Council (as the match capital funding authority) will have.
- 3.2 It seems likely that the South West regional HLF fund will continue to assess applications of up to £1 million with any request exceeding this being considered by the national board of trustees. It is highly likely that the DHC capital project would fare better at the regional level than the national, so it would be desirable that the project costs be kept within an overall cost framework that would make this possible. There has been regular communication with HLF since June 2018 and a meeting has been scheduled to take place once the new strategic framework has been published to discuss the best approach for the project.
- 3.3 It is important that the DHC extension project does not clash with any other Dorset projects of a similar size and scale as this would reduce its chances of success. A proposal to convert the Maltings (part of the former brewery site in Dorchester) into an arts centre seems likely to approach HLF during later 2019. It is crucial therefore that it and the DHC project are not submitted at the same time. This suggests that DHC's approach to HLF should take place in the first half of 2019.
- 3.4 At present, the breakdown of available and potential funds for the project is understood to be this:

Spend to date: £51,000 (feasibility report and other property services)

Remaining funds:

- £150,000 - JAS reserve
- £831,000 - DCC capital match funding (currently allocated)
- £100,000 - DCC Civil Society Fund

Potential funds

- c. £900,000 - HLF (assumed maximum, although confirmation of maximum figure is still awaited)

- £200,000 - JAS/Dorset Archives Trust fundraising (approximate figure).

Total potential project funds: c. £2,181,000

- 3.5 This means that currently, there is a funding gap of up to **£919,000**, although it is hoped that this figure will drop significantly.
- 3.6 Apart from feasibility work on the extension and other works to DHC, the service has been reviewing the activity planning dimension to the project. This will need to be changed significantly both due to a smaller budget, but also to ensure that it fully meets the HLF's outcome framework and the priorities of the funding councils. DHC continues to build on the very positive partnerships that have been generated as a result of the HLF application process. In particular, the relationship with Bournemouth University offers significant opportunities and these will continue to be explored through a range of departmental contacts.

4. Summary of Current Position

- 4.1 A two-storey extension has been identified as the best value option to meet the JAS's increasingly urgent long-term storage requirements.
- 4.2 The only alternative to an extension would be to use an external storage contractor. The revenue implications for this will grow over time. It is estimated that this would impact from 2021 or 2022 and would cost c. £750,000 over the first 20 years of the contract.
- 4.3 The HLF is the only funder of sufficient size that could meet a substantial part of the costs associated with this project. The prospects of support from HLF are good, although a cautious approach, making no assumptions is the default position.
- 4.4 In terms of funding, HLF is still designing its strategy for 2019/24. The maximum sum that might be requested by the project is still not known.
- 4.5 The view of the new Dorset Council in regard to the project is also not known. They would need confirm that the current DCC commitment would continue and consider any bid for additional funding. This cannot be approved by DCC at this time. It is likely to be very difficult to obtain commitment from Dorset Council during this transition period.
- 4.6 It will be necessary for the JAS to fund professional support from Dorset Property, particularly in relation to project management, architectural design and mechanical, electrical and structural engineering. It will be important that communication is maintained between all parties so that any opportunities to reduce costs are taken.

5. Options

- 5.1 It would appear there are only two viable options for the Board to consider:
- 5.2 **Option One** - To pursue the current course which involves ongoing dialogue with HLF and development of a second application in the expectation that it will be submitted in the first half of 2019. There remain at present clear questions over the full funding of the project and the position of the new Dorset Council will need to be clarified.

- 5.3 **Option Two** - Efforts to extend the DHC building are abandoned and options relating to commercial out-storage with a consequent long-term and growing revenue implication for the funding authorities are considered.
- 5.4 The first of these options would appear to be preferable as it continues to offer the best long-term solution for the management of the county's archives on-site at least cost to the three (from April 2019, two) funding councils and delivers a wider programme of benefits to the people of Bournemouth, Dorset and Poole.

6. Conclusion

- 6.1 This report has attempted to clarify the options that exist in regard to the provision of future storage for the JAS along with a summary of available pertinent data relating to costs and feasibility. The position remains dynamic with a significant quantity of 'unknowns' and caveats which need further analysis and clarification. These principally relate to the HLF's position and the implementation and impact of LGR.
- 6.2 However, there would seem to be a clear choice open to the funding councils, one that involves a local, capital solution, and the other which requires a long-term revenue commitment and out-of-county storage. On a positive note, it has been shown that the costs of the project would be significantly lower than the 2017 proposal and that it is possible to provide a large quantity of new accommodation on-site should the funding be available to construct it.
- 6.3 It is hoped that the Board will support the JAS continued work to deliver the best value and most effective project to ensure a long-term home for more of our written and recorded heritage.

Helen Coombes
Transformation Programme Lead for the Adult and Community Forward Together
Programme

January 2019

Appendix: Externally provided archive storage or additional capital funding - cost/benefit analysis

Purpose: to clarify the respective scenarios associated with resolving the DHC accommodation challenge.

Scenarios:

- 1) Identify and secure additional capital finance - up to £919,000 (but potentially lower)
- 2) Consider using an external storage contractor.

Extension or external provision?	2019-2041	2042-79 (60 building lifespan)
Scenario 1: Additional capital finance	Repayment of £919k mortgage on standard public sector borrowing terms (illustrative)	Running costs only
Scenario 2: External storage provider 'Deepstore' (Cheshire)	£750k (at 2% interest, subject to several variables)	Storing same quantity of material as at 2048 (when DHC extension projected to be full) £5.1-£10.2 million (2% and 5% interest rates respectively)

This suggests that in the short to medium term, the costs of storage over a repayment mortgage or loan are not dissimilar. However, over a 'full life' of the extension the value of the capital asset is demonstrated as external storage costs rise steeply over the duration.

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank