



GOVERNMENT AND RESOURCES COMMITTEE

16 JULY 2015

APPENDICES PUBLISHED SEPARATELY

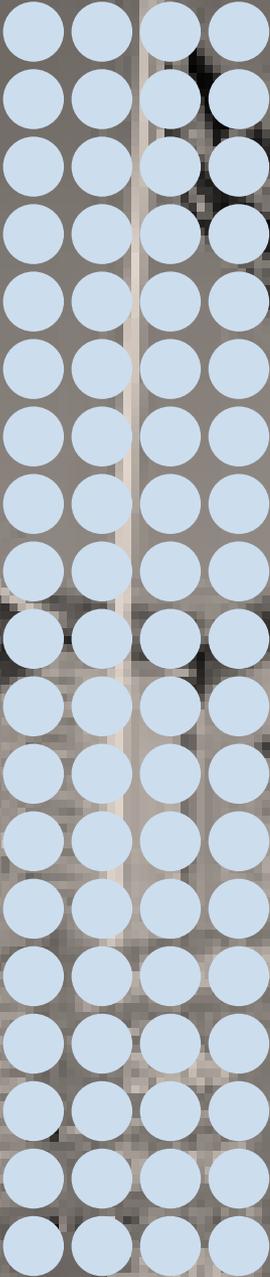
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Derbyshire Dales District Council

Risk Management

CHIEF EXECUTIVE'S ANNUAL RISK
MANAGEMENT REPORT JUNE 2015



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Name	Purpose
Chief Executive	For review and comment.
Corporate Leadership Team	
Risk Continuity Group	

Introduction and Background

Introduction

The Council's Risk Management Strategy, approved in March 2014 requires the Chief Executive to report to Members, by way of an annual report on the Council's Risk Management arrangements and how Key Strategic Risks are being managed. This report describes the processes and working practices, which have been significantly developed following an extensive review and refresh exercise of our current Risk Management provisions. This will ensure they continue to be effective, timely and fit for purpose, providing the Council with the correct levels of insight and support in relation to its risk exposure.

- ✓ Strategic Risks – These are the risks that will significantly impact the Council in the delivery of its Strategic Objectives and Corporate Plan; and
- ✓ Service Risks – These are the risk which will impact on the delivery of each service at an operational level. Managing these risks will assist each Head of Service in the delivery of their Service Plan objectives and key actions.

Requirements	Action
Recommendation	<ul style="list-style-type: none"> ▪ That the report be noted.
Wards Affected	<ul style="list-style-type: none"> ▪ Not applicable.
Strategic Link	<ul style="list-style-type: none"> ▪ Effective Risk Management provisions enable significant risks to be identified, controlled and monitored so contributing to the provision of excellent services.

Relevant individuals meet on a quarterly basis to discuss the risks facing the Council and the delivery of its objectives. Those risks highlighted during these sessions are analysed, prioritised and further actions identified. These are captured within the Service and Strategic Risk Registers.

An essential part of the process involves ensuring all risks have clear ownership. Service Managers are required to identify the key internal controls for each risk they are responsible for and to identify mitigating controls. The risk management methodology provides guidance for risks to be scored, enabling Officers to report risks which may prevent them from achieving their required aims.

Background

The Council operates a risk management programme whereby risks associated with the Corporate Plan, its Key Strategic Objectives and individual Service Plan Key Actions are formally assessed.

The Council identifies risks at two levels:

Risks are regularly reported to the Risk Continuity Group, which in turn reports to the Corporate Leadership Team, ensuring that risks, risk management etc are challenged and reporting effectively.

Further guidance on the Council's risk management processes and procedures can be found in the Risk Management Policy and Strategy; dated March 2014.

Risk Management Development

Recent Developments and Achievements

A significant amount of work has been undertaken during 2013 and 2014, continuing into 2015, to refresh and improve the Council's risk management activities and governance arrangements.

In September 2013 as part of our risk improvement commitment, Zurich were commissioned by Derbyshire Dales District Council to conduct a rigorous assessment of our current arrangements and develop a comprehensive action plan that would address areas for improvement.

As a result of this process areas of improvement were identified. All of these, with the exception of defining the council's risk appetite have been implemented and are noted in the table below. In June 2015 the Risk Continuity Group considered the subject of risk appetite and determined that a formal exercise is not necessary at this time.

The risk registers are now regularly updated and are embedded in service planning.

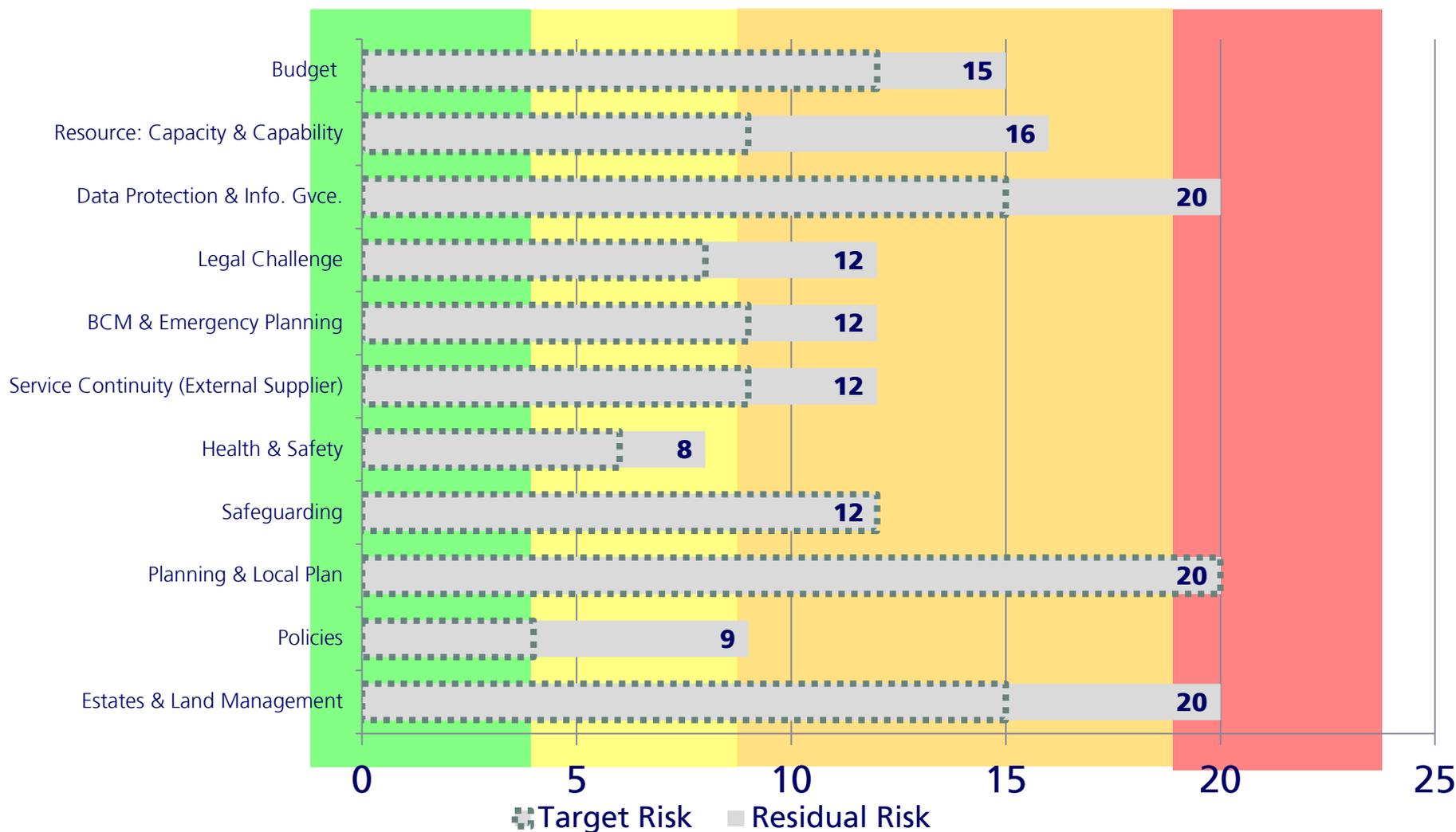
Area	Action undertaken
Risk Management Framework	<ul style="list-style-type: none"> Refocused the Risk Management Framework to consider the Council's new Management Structure; allowing ease of capturing and reporting risks at a Head of Service level.
Policy & Strategy	<ul style="list-style-type: none"> Revised the Risk Management Policy and Strategy, which was approved in March 2014.
Risk Registers	<ul style="list-style-type: none"> Implemented a new risk register format. Refreshed the risks within the risk register. Separated the Strategic and Operational risks through the creation of a Strategic Risk register, along with a number of Service Risk Registers,

Area	Action undertaken
Risk Registers	<ul style="list-style-type: none"> aligned with the new management structure. Scheduled quarterly risk refresher meetings with external support to allow a greater sharing and exploring of risks.
Training	<ul style="list-style-type: none"> Trained Heads of Service and relevant individuals in risk and risk management.
Business Continuity & Assurance	<ul style="list-style-type: none"> Continued to strengthen the interconnectivity of risk, business continuity & assurance.
Risk Continuity Group	<ul style="list-style-type: none"> Reinvigorated the Risk Continuity Group.
Risk Reporting	<ul style="list-style-type: none"> Re-energised the risk reporting to create a risk dashboard, which visually represents the risks facing the organisation; along with identified emergent risks.

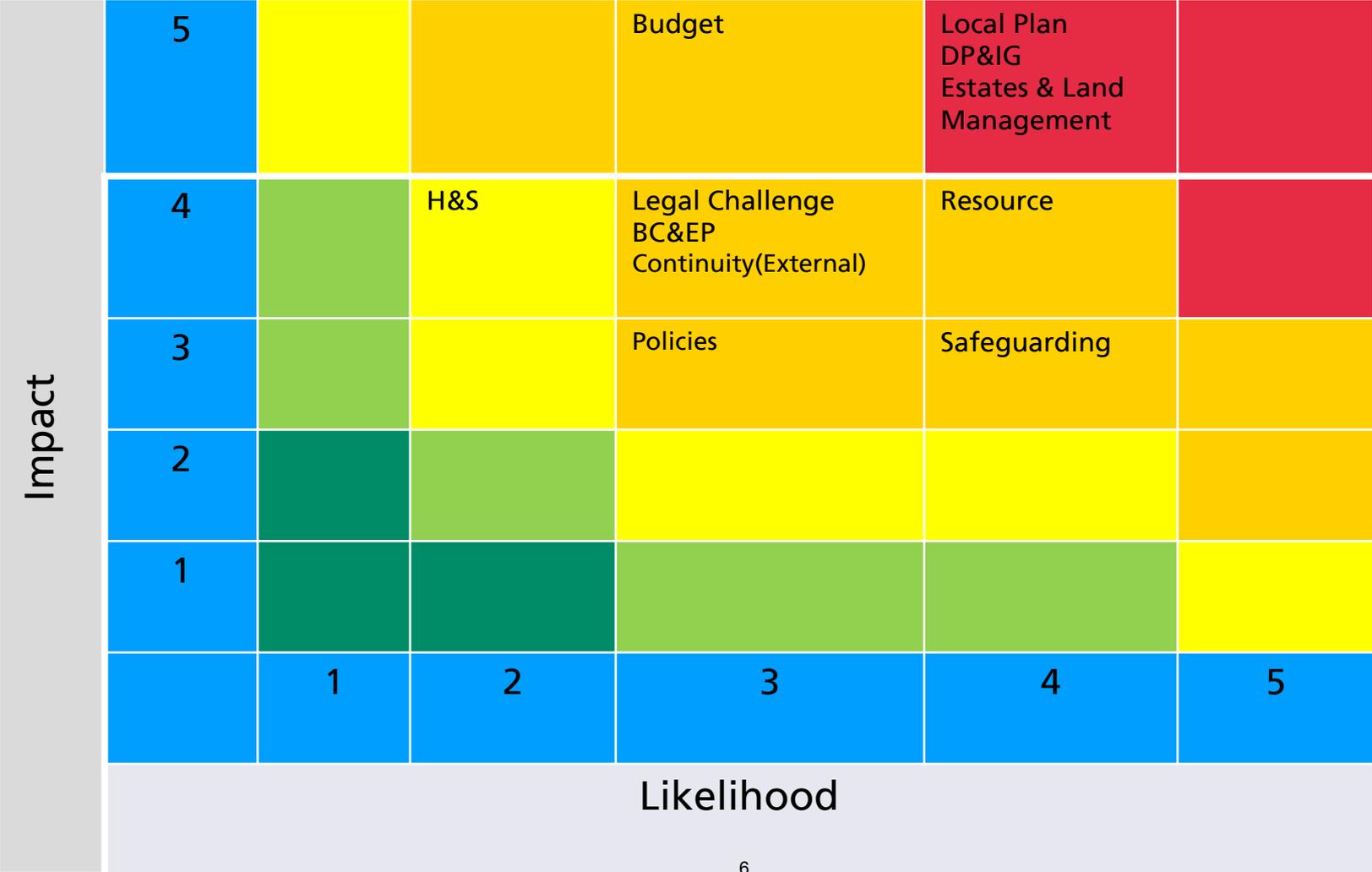
The Council has continued to develop and enhance its Risk Management processes and procedures over the last twelve months, through the Risk Continuity Group, who routinely assess the effectiveness of the risk management processes and recommend enhancements where required.

Current Strategic Risks

Strategic Risks are considered by relevant officers and documented within the Strategic Risk Register. Those risks identified and reported to the Corporate Leadership team in June 2015 are as follows:



Heat Map



Risk Movement

compared to strategic risk register July 2014



Strategic Risk Action Plan

The following additional mitigating actions have been identified by Services and the Risk Continuity Group in order to further manage the strategic risks and reduce the Council's risk profile, bringing the target risk score lower than the existing residual risk score.

Strategic Risk	Further mitigating actions identified
<p>Budget</p>	<ul style="list-style-type: none"> ✓ The Council's Medium Term Financial Plan demonstrates that there is a balanced budget in the financial year 2015/16 and over the following two financial years to 2017/18. ✓ The Council's Financial Strategy sets out the approach to achieving the savings that will be required from 2018/19 onwards. ✓ In March 2015 the external auditor informed members of the Corporate Committee that she had reviewed the Council's financial plan and had no concerns to report. ✓ Planned Member review for spending priorities from June 2015. On-going future services reviews to identify process improvements etc. ✓ Planned Member review for spending priorities from June 2015
<p>Capability & Capacity</p>	<ul style="list-style-type: none"> ✓ Review other impacts with regards to the lack of segregation of duties and marry up with the delegated authorities as outlined in the Constitution. Consideration of barriers and amendments to authorities or processes should be highlighted and approved. ✓ Succession planning for key roles and staff need to be identified and an action plan for developing individuals within the Council or recruitment is generated, monitored and actioned upon. ✓ Preventative stress management and other soft skill training is available to staff. ✓ If required neighbouring authorities could be approached for resource support. ✓ Service reviews are being completed and implementations require action ✓ Consider more use of external agencies for resource support
<p>Data Protection & Information Governance</p>	<ul style="list-style-type: none"> ✓ Formalise Document Retention policy. ✓ Discuss with Arvato their policies and document retention methods and gain assurance that these are in line with the Council's expectations. ✓ A recent incident has given rise to a review and consideration of how the Council communicates. The Council will consider E-Forms etc. ✓ An assessment of the impacts of the recent incident will be considered ✓ Employee awareness sessions are to be rolled out in mid-late 2015 ✓ Action all recommendations from Audit ✓ Member training to be rolled out

Strategic Risk Action Plan

Strategic Risk	Further mitigating actions identified
Risk of Legal Challenge in respect of contracts, liabilities, compliance, safeguarding	<ul style="list-style-type: none"> ✓ Consideration of contract management and procurement operations to ensure that risks are assessed and performed at the relevant levels/timelines etc. ✓ Training on equalities and consultation issues planned 2015
Business Continuity & Emergency Planning	<ul style="list-style-type: none"> ✓ Need to update/refresh the Business Continuity Plans in place and ensure that these now cover all of the Councils arrangements (including outsourced arrangements, such as Arvato). ✓ An exercise around the premises should be conducted, once a plan has been established. Finally a debrief is performed and lessons learned are incorporated into the plan etc. ✓ IT has also been noted that due to the changing in ICT (virtual desktop etc.) in the spring, that the Council would benefit from further test/review of the disaster recover plan. ✓ Disaster recovery Plans (IT related) need to be developed and documented. ✓ Further agile working to be considered as part of the ongoing service reviews
Continuity of Service (External Supplier)	<ul style="list-style-type: none"> ✓ Review contracts to ensure exit strategies are included and documented. Where these are not in place discuss with suppliers how these could be implemented. ✓ Identify alternative/temporary solutions for key contracts and minimum delivery requirements
Health & Safety	<ul style="list-style-type: none"> ✓ Continue to grow and develop the Board. ✓ Ensure that the RCG is informed of risks on a regular basis to reflect risks in the department and strategic risk registers.

Strategic Risk Action Plan

Strategic Risk	Further mitigating actions identified
Safeguarding	<ul style="list-style-type: none"> ✓ Deliver more up to date training ✓ CLT reviewing March 2015
Planning & Local Plan	<ul style="list-style-type: none"> ✓ Continue to address the shortcomings of the situation (2016) ✓ In the meantime, appeals may be lost and costs awarded against the council. (this could become more likely)
Policies	<ul style="list-style-type: none"> ✓ Review the policies to ensure that these are complete. ✓ Consider formulating a listing of policies, review date etc. on one easy to use page. ✓ Consider the implementation of staff awareness/online training where compliance/review can be monitored and reported. ✓ Communicate the policies to staff. Consideration may be required for those with learning developments. ✓ Member training later 2015
Estates & Land Management	<ul style="list-style-type: none"> ✓ Review Tree Risk Assessment and address main risks (top risk already addressed). ✓ Complete survey of entire rock face above Lovers Walks, Matlock Bath (25% already surveyed) and consider programme of works to address main risks. ✓ Extend Condition Survey works recently undertaken for all buildings to include all main retaining walls. ✓ Refine inspection reporting regime to ensure regular inspections take place and are recorded.

Additional Information

Other Considerations

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

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Background Papers

Risk Management Policy & Strategy; dated March 2014.

Strategic Risk Register dated March 2015



Document History

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Revision date	Ver	Summary of Changes	Author	Changes marked
19/05/14	0.1	Draft Document	Nick Blaney	No

Approvals

This document requires the following approvals.
Signed approval forms are filed in the project/documentation files.

Name	Signature	Title	Date of Issue	Version
		Joint Management Team		
		ICT Shared Service Committee		

Distribution *This document has been distributed to:*

Name	Title	Date of Issue	Version
	Joint Management Team		
	Shared Service Committee Joint ICT Service Staff at all service partners via intranets		

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1. Executive Summary

The Joint ICT Service is a shared service partnership between Bolsover, Derbyshire Dales and North East Derbyshire District Councils. The full three partner service came into effect on January 1st 2011 with three key aims:

- Deliver cost savings in an increasingly difficult financial climate
- Mitigate the risk to the partners due to lack of resource
- Provide a platform for delivery of shared solutions, shared expertise and future shared services

The previous Joint ICT Service Strategy, covering 2011-2013, focussed primarily on delivering cost savings, embedding the new shared service and delivering the identified technology strategy. This strategy and associated action plan was delivered.

Across all three partners there is now a focus on Growth and Transformation and ICT is correctly acknowledged as a key delivery mechanism for the partner's strategies. At the time of writing specific projects have not been clearly defined across the partners but the overall programmes are noted.

The strategy will focus on the following areas:

- Service Delivery
- Service Improvement
- Customer engagement
- Procurement
- Partnership working
- Emerging Information Trends
- Technology roadmap
- Measures of Success
- Business Planning
- Financial Management
- Risk Management
- External influences
- Governance

For each partner, based on the technology roadmap, a five year capital investment programme will be produced which will be reviewed at least annually.

2. Service Delivery

The fundamental principles of the Joint ICT Service delivery are that ICT users will receive an improved service, increased capability and flexibility in capacity to meet demand. To attain this, the ICT Service will work to the best practice processes of the IT Infrastructure Library (ITIL).

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

Annual Customer Satisfaction Surveys are undertaken to gauge the perception of users of the service in conjunction with the KPI's. Moving forward we will look to undertake randomised ad hoc surveys against incidents and service requests.

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

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

3. Service Improvement

The joint ICT service will also work with service areas at all partners to assist in the delivery of innovative solutions to support partner service improvement plans and transformation agendas. Best practice will be noted and shared where appropriate across partners.

Opportunities to share or host applications across two or all partners at one site will be considered and recommendations made as appropriate. In addition economies of scale therefore may provide opportunities for Councils to have access to software that they previously couldn't afford as a single Council.

Consideration of Open Source tools for development will be considered as a means of avoiding vendor 'lock in' and to deliver savings.

Whilst the website of each council is managed outside of IT, the joint service will contribute towards the enabling of transactional websites allowing for a reduction in transaction costs.

Seek to maximise productivity and efficient use of ICT tools through their delivery of ICT Training to staff, members and external partners through a variety of mediums, such as e-learning, one-to-one, departmental workshops in addition to the traditional classroom based delivery.

Planned service improvements are in the Service Improvement Action Plan in Appendix A.

4. Customer Engagement

In addition to the measure of success through KPI's and surveys the joint ICT Service will engage with the partners, service areas and users to ensure a fuller understanding of the needs and issues facing our users and partners.

This will be achieved by:

- User representation on a Joint Management Team
- Monthly Service Review meetings with partners
- Regular briefings with portfolio members for ICT
- Quarterly attendance at Directorate meetings
- Participation at User Group meetings
- Participation at vendor meetings
- Floor walking and ad hoc feedback
- Building positive relationships
- ICT information section on Intranets

5. Procurement

To ensure that best value is achieved the Joint ICT Service will seek to maximise opportunities for joint procurements between the partners and where possible with partners outside of the service. The Joint ICT Service will continue to seek external funding opportunities and for partnership solutions within Local Government and the 3rd sector.

The Joint ICT Service will work to ensure that all procurement will provide value for money and ensure procurement policies of the partners are followed. Joint procurement of products or services will be undertaken by NEDDC as the host authority and will abide by the procurement policies of NEDDC.

Where appropriate framework agreements, including the G-Cloud, will be used where they can demonstrate best value.

The impact on the environment will be considered in all ICT Procurements to ensure ICT contributes to the Climate Change objectives of all partners.

Specialist procurement advice is available to the Joint ICT Service through a service agreement in place between Bolsover, North East Derbyshire and Chesterfield NHS Trust.

6. Partnership Working

The Joint ICT Service will consider further partnership working where there are clear benefits to the current partners, benefits would be improved service, risk mitigation or cost reductions. Partnerships currently in place include:

- Joint Disaster Recovery Service with Amber Valley Borough Council

7. Emerging Trends and External Influence

7.2 Cloud/G-Cloud

Cloud computing is not a new concept but is essentially a 'rebranding' of the concept of vendors hosting both infrastructure and technology solutions for their customers. In recent years this has however become more prevalent and cost effective due to lower cost communication links and new technology solutions that enable 'cloud' suppliers to deliver more cost effective solutions. The partner organisations have already taken advantage of some smaller scale solutions such as mobile inspection software and public room bookings. The most significant cloud procurement so far is the Customer Information Systems deployed at Bolsover and North East Derbyshire. In many cases however cloud solutions have been unable to demonstrate savings over locally hosted solutions. The Joint ICT Service will consider cloud solutions and further adoption is likely as solutions become more competitive.

Government Cloud Computing (also called G-cloud) is a U.K. government programme to promote government-wide adoption of cloud computing. The initiative focuses on cloud computing's capability for economic growth, capitalizing on cloud's cost savings and flexibility to create a more efficient, accessible means of delivering public services. The G-Cloud includes the framework agreements that were formally available via the Government Procurement Service(GPS). In addition this is the prime vehicle for sourcing Public Service Network(PSN) accredited solutions. The G-Cloud has been used to procure Wide Area Networks(WAN) for Bolsover district Council and the Customer Information System adopted at Bolsover and North East Derbyshire. The G-Cloud should become the first point of call when looking for new technology solutions but equally any solutions must also demonstrate best value.

7.2 Bring or Choose Your Own Device

Bring Your Own Device(BYOD) has been much lauded in the trade and national press over the last couple of years as a means to save organisations money through avoiding equipment replacement costs and to allow employees to work the device of their choice. However many organisations and particularly the public sector, have found the security implications and the necessary mitigation costs prohibitive. In addition, other than email and calendar public sector vendors do not yet have applications that are tablet or smartphone ready. The Joint ICT Service will be trialling Mobile Device Management(MDM) solutions and provide guidance to senior management on the opportunities that can be BYOD can deliver. In addition features of the Customer Information System recently implemented at Bolsover and North East Derbyshire through the self service forms may provide opportunities for mobile working which may provide further demand for BYOD solutions.

Choose Your Own Device is also a prevalent concept. This proposes that staff should have a wider choice of which device the organisation should provide. Cost and they additional support complexity are currently a barrier to promoting a solution such as this.

7.3 Open Data

The concept of Open Data is that organisations make available data that can be beneficial for 3rd parties to conduct research or stimulate economic growth. The Government is now promoting the use and re-use of data through it's own open data initiative through the data.gov.uk website. In addition we are now required by the EU Inspire Directive to make spatial data available for public use. This has recently been kick started through government funding and work is underway to make the required spatial data available. It is likely that further requirements to publish data will come from both Government and EU directives but we should also consider how we can promote economic growth and public research through publishing datasets we have available.

7.4 Big Data

Again this has been a hot topic across the trade and national press. Again this is nothing new as organisations have been performing analytics on very large data sets for over 20 years. Given the nature of the service we deliver and the relatively small data sets we work with this is not an area we should invest time in at present.

7.5 Digital By Design/Digital First

A part of the [Government ICT Strategy](#) a new [Government Design Service](#) (GDS) has been set up to promote the use of digital as the first choice of delivering transactional services across the public sector. The GDS provides a list of principles and advice on the delivery of digital services. All three Councils are embracing channel shift as part of their transformation programmes and the Joint ICT Service will continue to advise and seek out best practice across the public sector.

8. Technology Roadmap

8.1 Key Issues

Major technology refreshes have been completed as part of the action plan for 2011-2013 and we now have a broadly common Infrastructure in place at all three partners. The key area for consideration over the period of this strategy is:

- Server Operating Systems – support for Windows Server 2003 will cease in July 2015

We are required to ensure we maintain supported patched software to comply with controls of the Government Public Service Network Connect Code of Connection (CoCo).

8.2 Internal opportunities

The rationalisation of disparate technologies amongst the three partners has led to cost savings and increase the ability to fully support these solutions. There are still a number of areas in how we deploy directory services and resources such as filing systems across the partners.

Key areas of focus are:

- Shared hosting of business applications
- Innovative in house solutions
- Use of open source software

8.3 External opportunities

A number of external initiatives may deliver opportunities to the partnership. The Joint ICT Service will look to influence these initiatives where possible. Key areas of interest are:

- Provision of software applications through a Government Application Suite (G-AS), a list of recommended applications within agreed procurement framework agreements in place.
- The Delivery of services and business applications through a 'Government Cloud' or 'G-Cloud', a web based delivery of business software with an agreed procurement framework.
- Taking advantage of the Public Sector Network for future shared service solutions within the public sector

8.4 Risks and Barriers

8.4.1 Funding

A five year capital expenditure plans have been produced for all partners and funding is in place to cover the key expenditure areas. These plans will be updated annually in advance of the budget setting process.

8.4.2 Resource and capability

Whilst the Joint ICT Service has inherent flexibility of resource, the demands of major projects require the Joint ICT Service to implement more sophisticated resource management activities to ensure resource demands are managed and full analysis of capability over demand can be understood. A quarterly update of planned projects and capacity will be produced for review by senior management and for presentation to the Joint Management Team.

Maintaining a skilled workforce is critical for the delivery of key projects and the ongoing support and maintenance of the technologies employed. The Joint ICT Service will produce training plans on an annual basis through the Employee Development and Performance Review Process (EDPR). Training will be provided through peer knowledge transfer, self learning and targeted external training.

The ICT Structure will be reviewed annually to ensure that the required resource and capabilities are in place to meet the requirements of the service. In addition if staff leave the structure will be reviewed to consider if replacement has to be made or if savings can be delivered to the service with suitable adjustments to meet service requirements.

8.4.3 Roadmap

Planned improvements are in the Service Improvement Action Plan in Appendix A.

9. Measures of Success

The Joint ICT Service employs a number of measures to monitor performance.

9.1 *SLA Metrics*

As part of the SLA a number of KPI's are defined:

- Systems availability
- First time fix percentage
- Percentage of incidents and service requests resolved within agreed timescales

These KPI's are reported monthly to management and staff and reviewed quarterly by the Joint Management Team and ICT Shared Service Committee.

9.2 *Annual User Satisfaction Surveys*

Annual surveys are undertaken with all ICT Users. The survey is based on 12 criteria which initially formed part of baseline reviews undertaken by the Audit Commission at each partner. The results are analysed and published and contribute to the service improvement planning process.

9.3 *Ad Hoc Satisfaction Surveys*

The Joint ICT Service is looking to introduce ad hoc user surveys using feature within our Incident and Request management tool, SupportWorks. This will enable us to undertake satisfaction surveys based on resolved incidents and service requests.

9.4 *Feedback from User Groups*

User representatives on the Joint Management Team (JMT) co-ordinate views of user groups to feed back to the JMT. These will supplement the satisfaction

surveys to feed into or validate the service improvement plans of the Joint ICT Service.

10. Risk Management

A risk register will be maintained for the Joint ICT Service in accordance with the Risk Management Processes in use at NEDDC which acts as the host authority.

In addition the Joint ICT Service will contribute to the partner service risk registers and associated action plans.

11. Business Development

The Joint ICT Service will work with partners to produce partner business plans according to the local standard reporting framework and timetables.

The Joint ICT Service will pro actively work with partners to explore opportunities for common solutions to business challenges and facilitate the sharing of best practice between the partners.

The Joint ICT Service will provide appropriately skilled resource to deliver business solutions to the partners. All projects will be approved through agreed processes at the partners. Resource usage will be monitored and reported back on a quarterly basis.

Customer engagement activities will be a key source for these activities.

12. Financial Management

The Joint ICT Service has the following financial responsibilities:

- Management of the Joint ICT Service budget
- Budget setting advice and monitoring of delegated partner ICT budgets
- Provision and annual review of 5 year Capital Investment plans for each partner
- Management of Project budgets either from external funding or partner capital budgets
- Ensuring best value procurement is undertaken in accordance with partner procurement rules

13. External Influences

A number of external influences do or may influence the ICT Strategy and delivery of key elements. These include:

- Changes in Government policy
- Comprehensive Spending Reviews
- Local Government reorganisation
- [Government ICT Strategy](#)
- National, regional and local funding streams
- Revised requirements for connection to the Public Service Network

14. External Input

To develop this strategy and continue to review technologies and services the following are key inputs:

- SOCITM – Covers ICT and it's role in the public sector
- Local CIO Council – The ICT Manager represents District authorities on this body
- Cabinet Office – responsible for Government ICT
- [Government ICT Strategy](#)
- Networking with peers both in the public and private sectors
- Conferences, seminars and webinars
- Trade publications
- Vendor roadmaps for products used by partners

Best practice and proven technologies will underpin the ICT Strategy.

14. Governance

A strong governance model is in place for the Joint ICT Service:

14.1 *Shared Service Joint Committee*

Membership: 3 members each from BDC, DDDC and NEDDC

Support Officers ICT Service Manager, Joint ICT Service
Client Manager, Derbyshire Dales
Client Manager, Strategic Alliance
Interim Monitoring Officer, Strategic Alliance

Responsibilities: Strategic and budgetary

Frequency: At least twice annually

14.2 Joint Management Team

Membership: Client Manager, Strategic Alliance
ICT Service Manager, Joint ICT Service
Client Manager, Derbyshire Dales
User Representative, NEDDC
User Representative, Derbyshire Dales
User Representatives, BDC

Responsibilities: Service Review
Financial Monitoring
Project Prioritisation
Act as Change Advisory Board (CAB)

Frequency: Quarterly

The terms of the Service Level Agreement will be governed by the Joint Service Partnership Agreement and will be reviewed annually by the Shared Service Joint Service Committee.

Appendix A – Service Improvement Action Plan

Improvement	Lead Officer	Target Date	Expected Outcome	Resources	Progress Update	Actual Outcome
Build Capacity within the Service Desk	Service Desk Manager	March 2015	Efficiency improvements Improved KPI targets Improved customer satisfaction	Staff time		
Work within the Local CIO Council and SOCITM to lobby Government and vendors on pragmatic solutions for the public sector	ICT Manager	March 2015	Transformation opportunities	Staff time Travel expenses		
Quarterly resource management updates	Business Development Manager	July 2015 and ongoing	Identify capacity constraints by team	Staff time		
Continued professional development for ICT staff	ICT Manager	April 2011 and annually thereafter	Staff with relevant skills and professional qualifications where appropriate	Staff time £10,000 per annum	Requirements identified for 2014-15.	.
Maintain compliance with the PSN Code of Connection	ICT Manager	November 2014 and annually thereafter	Ensure compliance at all partners	Staff time		

Improvement	Lead Officer	Target Date	Expected Outcome	Resources	Progress Update	Actual Outcome
Common ICT Policies	ICT Manager	August 2014	Common policies based on best practice guidelines	Staff time	Approved at NEDDC and BDC, progressing at Derbyshire Dales	
Introduction of full formal change control	Business Development manager	March 2015	Improved resource planning	Staff time	Release requests embedded in ways of working.	
Contribution to the Transformation programmes at each partner	Business Development Manager/ ICT Manager	March 2017	Delivery of transformational projects leading to savings and service delivery improvements	Staff time		
Review joint backup solution	ICT Manager	March 2015	Recommendation on common solution	Staff time and targeted expenditure		
Introduce ad hoc user surveys	Service Desk Manager	December 2014	Ongoing review of performance leading to targeted improvements	Staff time, some consultancy may be required		
Introduce telephone call reporting	Service Desk Manager	September 2014	Ability to measure abandoned calls and call wait times to facilitate	Staff time and targeted expenditure	Continuing issue with the proposed	

Improvement	Lead Officer	Target Date	Expected Outcome	Resources	Progress Update	Actual Outcome
					vendor solution delaying implementation	
Review storage capacity	ICT Manager	August 2014 and annually thereafter	System that is correctly sized to meet business needs	Staff time and targeted investment		
Disaster recovery tests	ICT Manager	March 2015	Full annual test at each partner site	Staff time	New procedures now tested and tests undertaken at all partners	
Migrate to Server 2008 or 2012	ICT Manager	June 2015	Ensure supported platforms for server infrastructure at all partners	Staff time and targeted investment	Work underway and key risk areas identified	

Derbyshire Dales District Council – ICT Strategy 2015-2017

Document History

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Approvals This document requires the following approvals.

Name	Signature	Title	Date of Approval	Version
Karen Henriksen		Head of Resources		
Nick Blaney		ICT Manager		
S. Norton		User Group Representative		

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Joint ICT Service		
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Derbyshire Dales District Council – ICT Strategy 2015-2017

1. EXECUTIVE SUMMARY

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

The three key aims of the Joint ICT Service are:

- User satisfaction will continue to improve
- Cost per user for ICT Service will reduce or stay the same for the same or better service
- Provide a platform for delivery of shared solutions, shared expertise and future shared services.

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

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

This council-specific strategy focuses on the service improvements, both in systems and hardware that the District Council will be focusing on over the next two years.

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

2. SERVICE DELIVERY

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

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

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

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

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

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

3. IT TRANSFORMATION

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

Current activities underway and planned are:

Activities underway:

- New Leisure system, including on line bookings
- Public WiFi at the Town Hall
- Public WiFi at leisure Centres
- Mobile Working for Clean and green teams
- Freedom of Information database

Activities planned:

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- Electronic Document Management System (2015/16)
- Telephony replacement (2017)
- Self-service modules for Human Resources system
- Extension of agile working (2015/16 onwards)
- Extension of channel shift (2015/16 onwards)

4. TECHNOLOGY ROADMAP

4.1 *Current Status*

Over the last 5 years a full overhaul of the Council's ageing and poorly performing IT Infrastructure has taken place. The major Infrastructure projects undertaken are:

- Complete refresh of our wide area network delivering improved performance, reduced cost and opportunities to increase capacity
- Introduction of remote access solutions to aid flexible working
- Full replacement of the server and storage infrastructure
- Full replacement the Town Hall network infrastructure
- Delivery of common gateway security solutions across all partners
- Migration of all desktops and laptops to Windows 7
- Delivery of a 'virtual desktop' solution to facilitate flexible working and provide a better experience for staff on remote sites and at the town hall
- Migration of all servers to Server 2008 or 2012
- Delivery of an iPad based solution for members and staff

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

- Rolling programme of laptop and desktop replacement starting in 2015
- Further deployment of 'virtual desktop' solutions
- Introduction of a new remote access solution in 2015 as the current solution will not supported after 2015
- Ingres database upgrade for revenues and benefits
- Replacement of production storage device in 2016 when the existing hardware becomes 'end of life'
- Replacement of production servers in 2016
- Replacement of the Disaster Recovery solution in 2016 when the storage devices will become 'end of life'

The current approved investment plan is available in Appendix B. These schemes have been included in the Council's current capital programme. £235,550 has been earmarked in the ICT Reserve and £30,339 from the Invest To Save Reserve to fund these projects.

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Appendix A – Service Improvement Action Plan

Improvement	Lead Officer	Target Date	Expected Outcome	Resources	Progress Update	Actual Outcome
New Leisure system	Head of Regeneration & Policy	Sept. 2015	Cost savings through online bookings and platform to support marketing and increase business	Staff time and capital expenditure	Main system and kiosk facilities in place, other elements to be completed by September	
Public WiFi at Town Hall	Head of Resources	July 2015	Improved customer experience at Town Hall	Staff time and expenditure	Orders placed, on hold whilst elections work underway	
Public WiFi at Leisure Centres	Leisure Manager (Town Hall)	July 2015	Improved customer experience	Staff time and expenditure		
Mobile working for Clean & Green team	Head of Environmental Services	March 2016	Efficiencies in allocation and reporting of work	Staff time and possible expenditure	Existing solutions under review	
Electronic Document Management System	Business Support Manager	March 2017	Productivity efficiencies and support for agile working	Staff time and expenditure		
Telephony replacement	Head of Corporate Services	2017	Supported telephony system and additional capabilities	Staff time and expenditure		

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Improvement	Lead Officer	Target Date	Expected Outcome	Resources	Progress Update	Actual Outcome
Extension of agile working	All Heads of Service	Ongoing	Productivity efficiencies	Staff time and expenditure	Considered as part of service reviews	
Extension of channel shift	All Heads of Service	Dec 2015	Cost reductions, improved customer service	Staff time and expenditure		
Laptop and Desktop replacement programme	ICT Manager	Ongoing	Improved user experience and productivity improvements	Staff time and expenditure	Funding in place	
Extension of virtual desktops	ICT Manager	Ongoing	Improved user experience and productivity improvements	Staff time and expenditure	Funding in place	
New remote access solution	ICT Manager	Nov 2015	Reduced costs and supported solution	Staff time and expenditure	Orders placed	
Ingres database upgrade	ICT Manager	Jul 2015	Ensure revenues & Benefits system is fully supported	Staff time		
Replacement of production storage devices	ICT Manager	Sep 2016	Fully supported storage solution for all business data	Staff time and expenditure	Funding in place	
Replacement of production servers	ICT Manager	Sep 2016	Fully supported server solution for all business systems. Ensure acceptable performance for end users	Staff time and expenditure	Funding in place	
Replacement of Disaster Recovery solution	ICT Manager	Oct 2015	Fully supported storage solution for all business data	Staff time and expenditure	Funding in place	

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Appendix B - Proposed Investment plan

PROJECT	REVISED ESTIMATE 2015/16 (JUNE 2015)	ESTIMATE 2016/17	ESTIMATE 2017/18	ESTIMATE 2018/19	ESTIMATE 2019/20 ONWARDS	TOTAL 2015/20	SOURCE OF FUNDING
	£	£	£	£	£	£	
Electoral Registration	7,677	0	0	0	0	7,677	Grant
Data Storage Capacity	15,000	0	0	0	0	15,000	ICT Renewals Reserve
Server Replacements	45,000	24,000	0	28,000	0	97,000	ICT Renewals Reserve
Town Hall Recabling	20,000	0	0	0	0	20,000	ICT Renewals Reserve
SQL 2008 Replacement	0	0	0	16,000	0	16,000	ICT Renewals Reserve
Microsoft Enterprise Agreement	0	0	0	30,000	0	30,000	ICT Renewals Reserve
Windows 2008/12 Migration	7,550	0	0	0	0	7,550	ICT Renewals Reserve
Electronic Document Management System	50,000	0	0	0	0	50,000	ICT Renewals Reserve
Leisure Management and Booking System	13,100	0	0	0	0	13,100	Invest to Save Reserve
Leisure System / Income System / Agresso Interfaces	17,239	0	0	0	0	17,239	Invest to Save Reserve
TOTAL	175,566	24,000	0	74,000	0	273,566	



EMPLOYEE CODE OF CONDUCT

Adopted by the Corporate Committee x date

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Introduction

The public is entitled to expect the highest standards of conduct from all Derbyshire Dales District Council employees. Your duty is to serve the Council as a whole in providing advice, implementing its policies and delivering services to the local community. In performing your duties, you must act with integrity, honesty, impartiality and objectivity.

It is therefore important for the Council to provide guidance on standards of conduct which applies to, is available to, and understood by employees at all levels, and this Code of Conduct has been prepared accordingly.

You should read the Code in conjunction with professional standards, departmental requirements and guidance regarding standards of conduct in particular areas of work. Some of these additional sources of guidance are listed in the Appendix at the end of this Code. This list is not exhaustive and you should familiarise yourself with any relevant guidance which may be provided in relation to your particular area of work. You should address any further queries you have to your line manager or another senior manager in your department.

Whilst the Code is reasonably comprehensive, it is not possible to address every circumstance, and simply because a particular action may not be addressed within the Code, this does not condone that action by omission. It is also expected that all employees will behave within the law whilst undertaking their official duties. The Code is incorporated into, and forms part of the contractual relationship between the Council and its employees. As such, it is admissible in evidence in any proceedings under the Council's disciplinary and grievance procedures.

Status of Code

The Code applies to all employees of the Council.

1. Accountability

- 1.1 As an employee, you are required to serve the whole of the Council and serve all Councillors equally. You are accountable and owe a duty to the Council and you are expected, where it is a part of your duties, to provide appropriate advice to Councillors, senior management and fellow employees with impartiality. You must act in accordance with the principles set out in this Code, recognising the duty of all public sector employees to discharge public functions reasonably and according to the law.
- 1.2 If you fail to comply with the Code's provisions, this may result in action being taken against you under the Council's Disciplinary Procedure.

2. Standards

- 2.1 **You are expected to give the highest possible standard of service and, where it is part of your duties, to provide appropriate advice to councillors and fellow employees with impartiality. The Council strives to maintain a high level of service** and, you should inform your line manager if you identify any deficiency in service resulting from breaches of this Code. If you have concerns about raising the deficiency, and wish to maintain confidentiality, you can use the

Council's Whistle Blowing Procedure. In this case, you should inform either your line manager, your Departmental Director, the Chief Internal Auditor or the Monitoring Officer.

2.2 Dress and Personal Appearance at Work

You are reminded that standards of dress, wearing of corporate and protective clothing, personal appearance and hygiene, including standards required in the interests of health and safety can be matters affecting public confidence and you should make yourself aware of, and adhere to, the expected standards of your particular employment.

3. Disclosure of Information

- 3.1 The Council is committed to open government and to rights of public scrutiny and participation. Legislation, including the Freedom of Information Act and the Data Protection Act, requires that certain types of information must be made available to the public and other recognised third parties and to employees and Councillors. Advice and guidance on the requirements of the Freedom of Information and Data Protection Acts is available from the Data Protection Officer and the Democratic Services Section.
- 3.2 You have a responsibility to safeguard the security and confidentiality of any personal information you hold and you should ensure that only the appropriate amount of information required is provided to those who have a clearly established and legitimate need to use it. Advice and guidance on your existing statutory or common law obligations regarding confidentiality is also available from the **Head of Resources or Monitoring Officer**.
- 3.3 You should not use any information obtained in the course of your employment for personal gain or benefit, nor should you pass it on to others who might use it in such a way. Any particular information received by you from a Councillor which is personal to that Councillor and does not belong to the Council, should not be divulged by you without the prior approval of that Councillor, except where such disclosure is required or sanctioned by law.

4. Political Neutrality

- 4.1 Certain posts are designated politically restricted by the Local Government and Housing Act 1989.

Your contract of employment will tell you whether you hold one of these posts and, if you do, you will be required by law to observe certain restrictions regarding your out of work activities. For example, you may not:

- Stand for election to local authorities (except Town or Parish Councils), the House of Commons or the European Parliament.
- Hold office in a political party.
- Canvass at elections, or
- Speak or write publicly on matters on party political lines.

- 4.2 Whether or not politically restricted, you must follow the Council's policies and must not allow your personal or political opinions to interfere with your work.
- 4.3 As a part of your work, you may be required to advise political groups. You must do so in ways which do not compromise your political neutrality.
- 4.4 Employees serve the Council as a whole. It follows that they must serve all Councillors and not just those of the controlling group, and must ensure that the individual rights of all Councillors are respected.

5. Relationships

5.1 Councillors

Employees are responsible to the Council through its senior managers. For some, their role is to give advice to Councillors and senior managers and all are there to carry out the Council's work. Mutual respect between employees and Councillors is essential to good local government. Close personal familiarity between employees and individual Councillors can damage the relationship and prove embarrassing to other employees and Councillors and should therefore be avoided.

5.2 The Local Community and Service Users

You should always remember your responsibilities to the community you serve and ensure courteous, efficient and impartial service delivery to all groups and individuals within that community as defined by the Council's policies.

5.3 Contractors

If you engage or supervise contractors or have any other official relationship with contractors and have previously had or currently have a relationship in a private or domestic capacity with contractors, you should declare that relationship to your Departmental Director.

- 5.4 Orders and contracts must be awarded on merit in accordance with Financial Regulations and Standing Orders in Relation to Contracts and no special favour should be shown to businesses run by, for example, friends, partners or relatives in the tendering process.

- 5.5 As a private citizen, you should be aware of possible conflicts of interest when you buy goods or use the services of firms who have dealings with the Council and you should follow departmental procedures relating to the disclosure of any such transactions.

6. Equalities

- 6.1 You must comply with the Council's Equality and Diversity Policies and legal requirements relating to equality issues. **In addition to the requirements of the law, it is the responsibility of all employees to assist in the creation of a work environment where discriminatory behaviour is not tolerated.**

6.2 Harassment and Inappropriate Behaviour

The Council believes in equality and social justice and will not tolerate any harassment, inappropriate behaviour, intimidation, unfair discrimination or victimisation, by or against employees, who should not be asked to suffer such behaviour.

6.3 You have a duty to ensure that the standard of conduct at work respects the dignity of others and does not cause offence. You must therefore act in such was as to avoid all forms of unacceptable behaviour in relation to other employees, clients and customers of the Council.

7. Appointment and other employment matters

7.1 If you are involved in the appointment of employees, you should be aware that it is unlawful for you to make an appointment based on anything other than the ability of the candidate to undertake the duties of the post. To avoid any possible accusation of bias you should not be involved in an appointment where you are related to an applicant or have a close association¹ with the applicant. Employees involved in the recruitment process will also be required to undertake adequate training.

7.2 You should not be involved in **any employment matter** including decisions relating to discipline, promotion or pay and conditions adjustments for another employee who is a relative or with whom you have a close association.

8. Outside Commitments

8.1 **The Council will not attempt to preclude any of its employees from engaging in any other business or from undertaking additional employment. However, you must be clear about you contractual obligations and not engage in any other business or take outside employment which conflicts with the Council's interests. For example, working with or for someone who does business or seeks to do business with the Council. If in doubt, please contact your manager.**

8.2 You should also follow the Council's rules on the ownership of intellectual property or copyright created during their employment – see paragraph 10.4.

9. Personal Interests

9.1 Personal interests must not conflict with your public duty. An official position or information acquired in the course of your employment must not be used to further personal interests or for the interests of others.

10.0 Register of Interests

You must declare to your Head of Service any:

- Financial interest which could conflict with the Council's interests for example
 - **Your property**

¹ A person with whom you have a close association is someone that you are in either regular or irregular contact with over a period of time who is more than acquaintance. It is someone a reasonable member of the public might think you would be prepared to favour or disadvantage when discussing a matter that affects them.

- **Where you or yours may be the beneficiary of grant aid or sponsorship from the Council**
- **Your private business and commercial interest**
- **Secondary employment**
- Non-financial interest that could conflict with the Council's interests
 - **For example being in a personal relationship or a close association with another employee or potential employee and a decision is required that concerns them**
- Interest in an existing or proposed contract with the Council for example
 - **Working on a contract where a family member or friend may benefit financially**
- Membership of any organisation not open to the public without formal membership and commitment of allegiance and which has secrecy about rules or membership or conduct.
- Membership of any organisation, which could conflict with the Council's interests.

9.3 You should make any such declaration in writing to your Head of Service and copied to the Monitoring Officer Any such declaration by a Head of Service or Monitoring Officer should be made in writing to the Chief Executive or Deputy Chief Executive as appropriate.

9.4 The Monitoring Officer will maintain a central record of all declarations made and hold that information in accordance with the Data protection principles.

10. Stewardship and Use of Resources

10.1 You must ensure that you use public funds entrusted to you in a responsible and lawful manner and must not utilise property, vehicles or other facilities of the Council for personal use unless authorised in advance to do so. You should strive to ensure value for money to the local community and to avoid legal challenge to the Council.

10.2 Intellectual Property is property which enjoys legal protection and is a result of intellectual effort, including patents, copyright, trademarks, designs and software. Where developed in the course of your duties, such intellectual property is the property of the Council. You should not make use of the Council's intellectual property to conduct private work.

10.3 Any copies of material taken for use within the Council must only be as allowed under the Copyright Act and under the appropriate licensing agreement.

11. Corruption

11.1 Employees must be aware that it is a serious criminal offence for them corruptly to receive or give a gift, loan, fee, reward or advantage for doing or not doing anything or showing favour or disfavour to any person in their official capacity. If an allegation is made it is for the employee to demonstrate that any such rewards have not been corruptly obtained.

12. Hospitality and Gifts

12.1 Hospitality

- You should only accept offers of hospitality if there is a genuine need to impart information or to represent the Council. Offers to attend purely social or sporting functions should only be accepted where the Council should be seen to be represented and with prior consent of your Departmental Director. Such authority must be recorded.
- When hospitality has to be declined, those making the offer should be courteously but firmly informed of the procedures and standards operating within the Council.
- When receiving authorised hospitality employees should be particularly sensitive as to its timing in relation to decisions which the Council may be taking affecting those providing the hospitality.
- Acceptance by employees of hospitality through attendance at relevant conferences and courses is acceptable where it is clear the hospitality is corporate rather than personal; where you have consent to attend in advance, and where your Departmental Director is satisfied that any purchasing decisions are not compromised.

12.2 Giving Hospitality

- The impression of improper influence can also arise if hospitality is provided to organisations seeking business. Any hospitality given should be appropriate and justified in the public interest and public purse.

12.3 Gifts

- You should not accept significant personal gifts from contractors and outside suppliers. Token gifts of very small value like pens marked with a company name, or calendars, which might be seen as advertisements, are acceptable.
- You must notify your line manager of any gifts received 'out of the blue', other than the token gifts outlined above. S/he will record receipt of the gift and decide whether the gift should be returned or forwarded to a local charity.

12.4 Failure to report gifts and hospitality may result in disciplinary action being taken against you under the Council's Disciplinary Procedure.

13. Sponsorship – Giving and Receiving

13.1 Where an outside organisation wishes to sponsor, or is seeking to sponsor a local government activity, whether by invitation, tender, negotiation or voluntarily, the basic conventions concerning acceptance of hospitality or gifts apply. No sponsorship deal should be made without the prior agreement of your Departmental Director.

13.2 Where the Council wishes to sponsor an event or service you must declare in writing to your Departmental Director any possible conflict of interest or any benefit for you or a member of your family, or for anybody with whom you have a close association. Similarly, where the Council is providing sponsorship or grant aid in the community, you should ensure that impartial advice is given and that there is no conflict of interest involved.

14. Contact with the Media

14.1 Any enquiries from the media on work-related matters should be referred to the Communications Officer in the first instance. You should seek authorisation from your line manager, before you speak, write or give interviews to the media.

14.2 If you wish to publish books, articles or letters in relation to your work with the Council, you must first consult your Departmental Director. Only with the consent of your Departmental Director may items be published.

15. Employees Facing Criminal Charges

15.1 The Council expects employees facing criminal charges to give notice of such without delay to their Head of Service. Sometimes the nature of the charges may be relevant to the employee's job, and in other cases the issue will be less clear cut. If you find yourself in such a position, you must be aware that your personal actions can reflect on the Council as a whole. You are therefore required to notify your Head of Service of any criminal charge which may be pending, whether you personally feel the matter if relevant or not, and the outcome of any such charge. Your Head of Service will discuss the matter with you as to the extent to which such a charge reflects upon your ability to perform your duties effectively and to the extent to which the Council's own interest are prejudiced

Appendix

A number of additional sources of guidance are listed here. However, this list is not exhaustive and you should ensure that you familiarise yourself with any relevant guidance which may be provided in respect of your particular area of work. Any queries in this respect should be addressed to your line manager or the Human Resources Section.

- Employee Policies and Procedures of the Council
- Terms and Conditions of Employment
- Whistle Blowing Procedure
- Child Protection Policy
- Disciplinary Procedure
- Capability Procedure
- Internet and Email Use Policy and Guidance
- Equal Opportunities and Diversity Policy
- The Council's Constitution, containing Standing Orders in Relation to Contracts, Financial Regulations, Financial Procedures, Member/Officer Protocol, Members Code of Conduct
- Council's Policy Statement – 'Anti-Fraud/Corruption Strategy'.
- Data Protection Act 1998
- Freedom of Information Act 2000
- Computer Misuse Act 1990
- Codes of Practice Established by Professional Bodies (e.g. Law Society, Chartered Institute of Public Finance and Accountancy)